NORWICH City Council

Cabinet

Date: Wednesday, 08 September 2021
Time: 17:30
Venue: Mancroft room, City Hall, St Peters Street, Norwich, NR2 1NH

Committee members:

Councillors:

Waters (chair)
Harris (vice chair)
Davis
Hampton
Jones
Kendrick
Oliver
Packer
Stonard

For further information please contact:

Committee officer: Chris Reynolds
t: (01603) 987842
e: chrisreynolds@norwich.gov.uk

Democratic services
City Hall
Norwich
NR2 1NH

www.norwich.gov.uk

Information for members of the public

Members of the public and the media have the right to attend meetings of full council, the cabinet and committees except where confidential information or exempt information is likely to be disclosed, and the meeting is therefore held in private.

For information about attending or speaking at meetings, please contact the committee officer above or refer to the council's website

IN TRAN communication for all

If you would like this agenda in an alternative format, such as a larger or smaller font, audio or Braille, or in a different language, please contact the committee officer above.

Agenda

		Page nos
1	**Apologies**	
	To receive apologies for absence	
2	**Declarations of interest**	
	(Please note that it is the responsibility of individual members to declare an interest prior to the item if they arrive late for the meeting)	
3	**Public questions/petitions**	
	To receive questions / petitions from the public in line with the Council's constitution	
4	**Minutes of Cabinet 7 July 2021**	5 - 10
	To approve the accuracy of the minutes of the meeting held on 7 July 2021	
5	**Emergency Management Strategy**	11 - 76
	Purpose - To consider and seek approval of the Emergency Management Strategy	
6	**Response to Transport for Norwich Strategy consultation**	77 - 94
	Purpose - To seek Cabinet support for the proposed response to Norfolk County Council's consultation on the draft Transport for Norwich strategy	
8	**Transfer of assets from the General Fund to the Housing Revenue Account**	95 - 106
	Purpose - To transfer five General Fund assets to the HRA where they are deemed Housing assets within council owned estates	
9	**Q1 2021 - 22 Combined Corporate Assurance Report**	107 - 176
	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	
8	**Transfer of building repairs and maintenance services to Norwich City Services Ltd and property services to Norwich City Council**	177 - 190
	Purpose - to consider the report	

10	**Treasury Management Full Year Review Report 2020 -21**	191 - 204
	Purpose - This report sets out the Treasury Management performance for the year to 31 March 2021.	
11	**Award of a contract for communal estate improvement**	205 - 210
	Purpose - To consider awarding a contract for communal estate improvement works, to Council owned Housing land	
12	**Award of a contract for housing and non-housing lift servicing and maintenance**	211 - 216
	Purpose - To delegate the Executive Director of Community Services the authority to award a contract for housing and non-housing lift servicing and maintenance	
13	**New District Heating System at Barnards Yard, Norwich**	217 - 228
	Purpose - To consider awarding a contract for the installation of a new district heating system at Barnards Yard, Norwich (An additional paper may follow)	
14	**Extension of an awarded contract for warden call upgrades to sheltered housing schemes**	229 - 234
	Purpose - To consider an extension to an awarded contract for warden call upgrades to sheltered housing schemes	
15	**Exclusion of the public**	
	Consideration of exclusion of the public.	

EXEMPT ITEMS:

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

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

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

Page nos

***16 Transfer of building repairs and maintenance services to Norwich City Services Ltd and property services to Norwich City Council - Appendix**

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

***17 Managing assets (Housing)**

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

Date of publication**: Tuesday, 31 August 2021**

NORWICH City Council

Item 4

MINUTES

Cabinet

17.30 – 18.35 **7 July 2021**

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

1. Public Questions/Petitions

There were no public questions.

2. Declarations of interest

Councillor Stonard declared a non-pecuniary interest in Items 7 and *16 below but would remain in the meeting.

3. Minutes

RESOLVED to agree the accuracy of the minutes of the meeting held on 9 June 2021, subject to the following amendments:-

(1) The inclusion of Councillor Davis in the list of those present
(2) The resolution for Minute no 5 amended to add -
"to advertise Play Streets in Citizen and on the council's website showing the link to county council's web page".

4. Greater Norwich Local Plan (GNLP) – submission to the Secretary of State for Independent Examination

Councillor Stonard, cabinet member for sustainable development, presented the report. He referred to the consensus achieved in preparing the document and ensuring that the city council's views were reflected. He assured members that any concerns will be addressed during the independent examination.

Councillor Davis said that the sustainable development panel had considered this matter on several occasions and had made its reservations known.

Councillor Bogelein expressed a range of concerns about the proposals housing provision included in the plan and the resulting increase in traffic, emissions and other impacts on climate change included in the document. The chair said that these

matters would be included as part of the independent examination when the inspector would take into account the climate change implications.

RESOLVED to recommend to council:

(1) that the Greater Norwich Local Plan (GNLP) is sound and to submit the Plan to the Secretary of State for independent examination subject to an agreement in principle being reached with Natural England, in the form of a signed statement of common ground, in relation to the mitigation necessary to protect sites protected under the Habitat Regulations;

(2) to request that the appointed independent inspector make any Main Modifications necessary to make the plan sound and legally compliant;

(3) that it delegates authority to the executive director for development and city services in consultation with the Portfolio Holder for Sustainable and inclusive growth to:

(a) agree minor modifications to the GNLP prior to its submission; and

(b) negotiate any main modifications necessary to make the GNLP sound as part of the Independent Examination.

(4) to commit to proactively identify and bring forward sufficient Gypsy and Traveller site to meet identified needs in accordance with the criteria-based policies of the current and emerging development plans.

5. Home options policy

Councillor Harris, deputy leader and cabinet member for social housing, presented the report. She referred to the council's priority to provide good quality and affordable housing and the pressures on resources to meet expectations. It was important to ensure that those in most need were prioritised and the amendments to the policy were designed to help those living in overcrowded accommodation and high-rise blocks of flats.

The Housing Options manager said that the proposed revisions to the policy were the subject of wide consultation and the proposed changes would help those in most need including tenants with communal gardens.

RESOLVED to approve the adoption of the updated Home Options allocations policy as outlined in the report.

6. Article 4 Direction to Remove Permitted Development Rights for the Conversion of Offices to Residential

Councillor Stonard, cabinet member for sustainable development, presented the report. He referred, in particular, to the need to protect the provision of office space in the city in the light of property owners seeking to convert office space to residential use. This trend had increased during the Covid pandemic.

The chair referred to the considerable amount office space which had already been lost in the city and the need to halt this decline to ensure adequate provision in the future.

RESOLVED to recommend the council to:

(1) proceed with the introduction of a non-immediate Article 4 direction

(2) delegate authority to the executive director of development and city services, in consultation with the portfolio holder, to make an Article 4 direction to remove permitted development rights for the conversion of offices to residential within Norwich city centre

(3) should the government change the National Planning Policy Framework (NPPF) to require Article 4 directions to be limited to situations where this is necessary to protect an interest of national significance, delegated authority should be given to cease its introduction without having to seek further authority from cabinet.

7. NRL Assurance and Consideration of the Threescore Phase 3 Outline Business Case

(Councillor Stonard had declared an interest in this item.)

Councillor Kendrick, executive member for resources, presented the report.

Councillor Stonard said that he supported the recommendations in the report and referred to the high quality of homes which were being built and encouraging sales figures.

In reply to a question form Councillor Bogelein, Graham Nelson, executive director of development and city services, referred to the range of work being done to improve the housing supply pipeline, including bringing derelict land into housing use.

RESOLVED , having regard to the independent assurance report provided by Savills and the NRL outline business case for Three Score Phase 3:

(1) to recommend to council that provision for the necessary loan finance and share capital (currently estimated at up to £4.0m) be approved for inclusion in the capital programme £2m (2021/22) and £2m (2022/23), and subject to council approval ; and;

(2) subject to council approval of (1) above, to delegate authority to the executive director of development and city services in consultation with the portfolio holder for resources to:

(a) dispose of land to NRL at the value set out in the exempt appendix (see para 6 of exempt appendix 3) to deliver the private housing element of the scheme;

(b) to appropriate land to the HRA to deliver the social housing element of the scheme (as set out in para 10 and 11 of exempt appendix 3);

(c) to enter into a new loan facility agreement with NRL to fund approved shareholder investment.

8. Managing Assets (Non-housing) NAIE

Councillor Kendrick, cabinet member for resources, presented the report and explained the reasons for the recommendations which included the need to modernise the industrial estate.

In response to members' questions, the head of property and economic development said that the council would work with the developer on their proposals after the sale of the site and that an overage agreement was not proposed.

RESOLVED to

(1) approve the disposal of land identified in the report jointly with the Norfolk County Council.

(2) approve the commencement of a process to procure a selling agent.

(3) delegate authority to accept the most advantageous offer for the site to the executive director of development and city services in consultation with the cabinet member for resources; and

(4) seek revisions to the lease/an option agreement on the Norwich City Services Limited depot to secure a right of renewal ahead of sale.

9. Scrutiny Report to Cabinet

In the absence of Councillor Wright, chair of the scrutiny committee, who had tendered his apologies, Councillor Kendrick, cabinet member for resources, presented the report.

RESOLVED to note the formation of a scrutiny select committee as detailed in the report.

10. Award of a Contract for Retrofit External Insulation

Councillor Stonard cabinet member sustainable development, presented the report.

During discussion, members thanked the officers for their hard work on this scheme which met many of the council's priorities and the objectives within the Covid-19 recovery plan**.**

RESOLVED to delegate approval to the executive director of community services in consultation with the leader of the council, to award the contract for retrofit external

insulation at an estimated value of £500,000. The final award will be within the existing allocated budget.

11. Award of a Contract for Structural and Civil Engineering Consultancy Services

Councillor Harris, deputy leader and cabinet member for social housing, presented the report.

In reply to a question from Councillor Davis, Councillor Harris said that there would be a break clause in the contract which would take effect after a period of 2 years.

In response to a question from Councillor Bogelein, the major works and services manager said that high workloads had resulted in delays to the tender process, but this had been mitigated by the inclusion of an exemption clause.

RESOLVED to delegate approval to the executive director for community services, in consultation with the cabinet member for social housing, to award the contract for structural and civil engineering consultancy services, at an estimated value of £800,000 (£200,000 per annum). The final award value will be within the existing allocated budget.

12. Award of a Contract for the Development of the Former King's Arms Public House Site at 100 Mile Cross Road

Councillor Harris, deputy leader and cabinet member for social housing, presented the report.

Members welcomed the proposals for derelict site which had been the focus of anti-social behaviour and fly tipping for a number of years.

RESOLVED to award the contract for the development of the former Kings Arms Public House site at 10 Mile Cross Road and agree the final contract sum, subject to a maximum of the figures in the exempt report

13. Award of Contract for Specialist Ground Improvement and Associated Work

Councillor Harris, deputy leader and executive member for social housing, presented the report

RESOLVED to award the contract for specialist ground improvement and associated structural work at an estimated value of £2,000,000 over four years (£500,000 per annum). The final award value will be within the existing allocated budget.

14. Exclusion of the public

RESOLVED to exclude the public from the meeting during consideration of items *16 to *19 (below) on the grounds contained in the relevant paragraphs of Schedule 12A of the Local Government Act 1972 (as amended).

***15. Award of a Contract for the Development of the Former King's Arms Public House site at 100 Mile Cross Road (Paragraph 3)**

Councillor Harris, deputy leader and cabinet member for social housing, presented the report.

RESOLVED to note the exempt appendix to the report.

***16. NRL Assurance and Consideration of The Threescore Phase 3 Outline Business Case (Paragraph 3)**

(Councillor Stonard had declared an interest in this item.)

Councillor Kendrick, cabinet member for resources, presented the report

RESOLVED to note the exempt appendix to the report

***17 Managing Assets (Non-Housing) NAIE (Paragraph 3)**

Councillor Kendrick, cabinet member for resources, presented the report

RESOLVED to note the exempt appendix to the report

***18 Managing Assets (Housing) (Paragraph 3)**

Councillor Harris, deputy leader and cabinet member for social housing, presented the report

RESOLVED to approve the disposal of the land identified in the report.

CHAIR

NORWICH City Council

Item 5

Committee Name: Cabinet

Committee Date: 08/09/2021

Report Title: Emergency management strategy

Portfolio:	Councillor Oliver – environmental services
Report from:	Executive director of development and city services
Wards:	All wards
OPEN PUBLIC ITEM	

Purpose

To consider and seek approval of the Emergency Management Strategy.

Recommendation:

1) That Cabinet approve the Emergency Management Strategy; and

2) The strategy is referred to the Scrutiny Committee for review.

Policy Framework

The Council has three corporate priorities, which are:

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

This report meets all the corporate priorities and helps to support the strategic actions in the Corporate Plan.

Report Details

1. Local authorities, as Category 1 responders, have a key role in planning for an emergency, responding to an emergency and supporting the long-term recovery following an emergency.
2. In accordance with our duties under the Civil Contingencies Act 2004 we need to ensure we have plans in place to respond to and support an emergency that might occur in Norwich.
3. Norwich City Council plays a critical role in civil protection and has a wide range of functions that are likely to be called upon in support of the emergency services during emergency response and recovery.
4. The Emergency Management Strategy outlines the council's approach to emergency management and the roles and responsibilities undertaken across all levels in the event of an emergency affecting or requiring the support of the council.
5. Provision of emergency response capability across all levels ensures the council is effective in fulfilling our duties under the Civil Contingencies Act.
6. The strategy provides a clear co-ordination structure and resilience has been enhanced across all response levels, including the introduction of a weekly rota for Gold (strategic) and Silver (tactical) levels of response.
7. The strategy includes recommended training (section 11) to ensure officers and councillors are fully aware of the responsibilities of the council and how these fit into the wider multi-agency framework.
8. The strategy is an unclassified document. The annex (Emergency Planning Duty Officer procedures) is restricted and classified 'Official Sensitive' due to personal contact details, operational procedures and information required for the duty officer in the initial response phase. The annex is not included in the main document.

Consultation

9. The Emergency Management Strategy has been circulated to all members of the Senior Leadership Team as part of the consultation and presented to CLT on 7 July.
10. A briefing was provided to the portfolio holder for environmental services on 27 July.
11. It has been circulated to Cabinet members for feedback and comment.
12. Public consultation is not required and it is suggested that strategy is approved for use immediately. However, the document will be a live document and it is suggested it may be beneficial for scrutiny committee to undertake a review of the document and associated procedures to identify areas for possible further enhancement.

Implications

Financial and Resources

13. 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.

14. A training programme, including costs, is to be prepared. Training can be delivered by the Norfolk Resilience Forum, Emergency Planning College, or the Emergency Planning Manager. Any costs associated with the training plan are forecast to funded from existing budgets, but once the final plan is approved the funding will be finalised before the work is commissioned.

Legal

15. The council has a statutory responsibility under the Civil Contingencies Act 2004 to ensure adequate preparations are in place to respond to and support an emergency.
16. Emergency planning works closely with partners in line with the Control of Major Accidents Hazards (COMAH) Regulations 2015 in relation to the Briar Chemicals site on Sweetbriar Road.
17. Other applicable legislation – Environmental Protection Act, Housing Acts and Health & Safety at Work Act.

Statutory Considerations

Consideration:	**Details of any implications and proposed measures to address:**
Equality and Diversity	None as a result of the strategy. Equality and diversity matters would be taken into consideration as part of any emergency response guided by this strategy.
Health, Social and Economic Impact	Providing a swift and effective emergency response should have a positive impact on health, social and economic considerations
Crime and Disorder	None as known
Children and Adults Safeguarding	Rest Centre plans ensure care and supervision is provided by suitably qualified DBS checked staff.
Environmental Impact	Emergency planning works closely with partners within the Norfolk Resilience Forum to undertake risk assessments which consider the impact on the environment, human welfare, essential services, security, and economy. Where the risk is high a specific response plan is in place (e.g., flooding, Briar Chemicals, Norwich Airport – plans listed at 1.3 of the strategy)

Risk Management

Risk	Consequence	Controls Required
Not having a clear framework for managing emergencies in line with our legal duties Reputational	Failure to provide an emergency response capability to an emergency affecting the community could put the safety and welfare of our communities in danger. Reputation and media influences if the authority fails to fulfil its statutory obligations under the Civil Contingencies Act 2004 Human Rights: Inability to provide an emergency response capability could possibly result in contravening this Act.	The following controls are in place to mitigate the risks: • Emergency Management Strategy. • Emergency planning duty officer procedures and rota in place. • Gold/Silver rota in place. • Further and ongoing training/exercises to be provided to build greater resilience.

Other Options Considered

18. No other options for consideration.

Reasons for the decision/recommendation

19. Provision of emergency response capability across all levels will enhance resilience and ensure the council can provide an effective response.
20. The proposed training programme will embed emergency planning within the culture of the council and ensure staff and councillors have an understanding of their roles.
21. It is recommended that Cabinet approve the Emergency Management Strategy which provides a clear structure on how the council will manage its response to an emergency.
22. It is recommended the strategy is referred to the Scrutiny Committee for review.

Background papers: None

Appendices: Emergency Management Strategy (excluding the annex, Emergency Planning Duty Officer procedures)

Contact Officer:

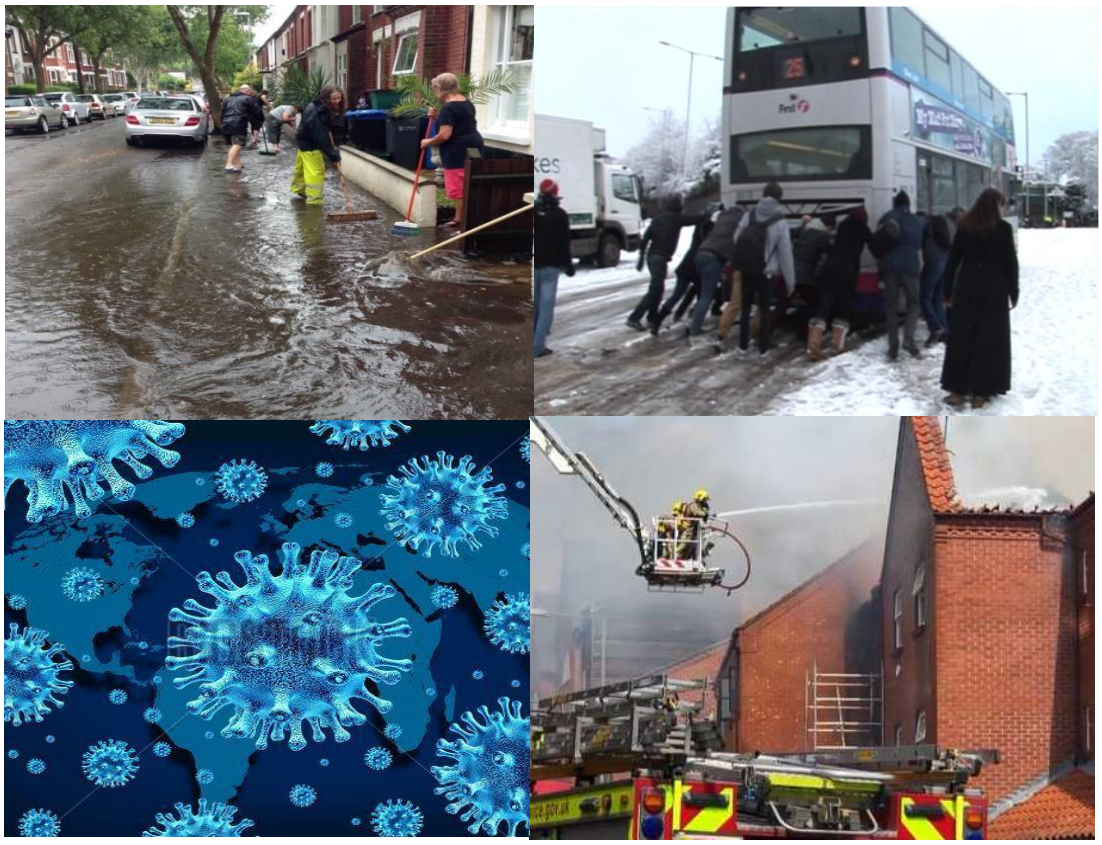
Name: Teresa Cannon and Sarah Ashurst

Telephone number: 01603 989262 / 01603 987856

Email address: teresacannon@norwich.gov.uk / sarahashurst@norwich.gov.uk

NORWICH City Council

Emergency Management Strategy



Plan Owner: Emergency Planning Manager

Version: Final - Unclassified

Annex – Restricted document

Date: Draft v.1

Review Date: ?/?/2023

Foreword

Norwich City Council has responded to a variety of emergencies over the years, such as severe weather incidents, post Grenfell building safety assessments, mutual aid to coastal tidal surge events, rest centre activation and the tremendous response effort to the Covid-19 pandemic, which is ongoing as we continue to work towards recovery.

Under the Civil Contingencies Act 2004, local authorities, as Category 1 responders, have a duty to have plans in place to respond to and support an emergency that might occur within its area. The purpose of the document is to ensure that the council, together with its partners, is fully prepared and resourced in order to be able to respond effectively. The council has two main roles when dealing with emergencies:

- Firstly, in the **response** phase we must assist the emergency services to protect life and property and provide support to the local community affected.
- Secondly, in the **recovery** phase, we take the lead in co-ordinating the activities of the various organisations which may be called upon to help the community and assist in the return to a new normality. Invariably the involvement of the council in the recovery phase will last significantly longer than the initial response.

Whilst all this is happening we must also ensure we can maintain our normal services, therefore it is important that Business Continuity Plans are operated in conjunction and in support of this document.

This plan sets out the roles, responsibilities and operational procedures to be undertaken in the event of an emergency. It is the responsibility of all Heads of Service and managers to make whatever further planning arrangements are necessary for them to carry out their normal day to day functions as part of business continuity planning. The council will then be able to respond quickly and efficiently, providing assistance in the most effective way.

It is important that this plan is read and understood by all concerned. All managers are required to ensure staff are made aware of this plan, particularly if they are required to undertake a key role in the response to an incident. Training to raise awareness of multi-agency emergency management is available through the Emergency Planning Manager.

Norwich City Council is committed to providing an appropriate and proportional response to any emergency and support from all staff will be required to achieve this.

Many thanks for your help and support.

Stephen Evans
Chief Executive
Norwich City Council

Contents

Purpose of Plan i
Protocols i
Distribution List ii
Record of Amendments iii
Abbreviations/Glossary iv

Section 1 – Introduction and Strategy 1
1.1 Introduction 1
1.2 Aim of this plan 2
1.3 Reference to other plans 2
1.4 Definitions 3
1.5 Type and scale 5
1.6 Declaration 5
1.7 Hazard assessment 5
1.8 Norwich City Council statutory duties under the CCA 6
1.9 Responders 6
1.10 Business continuity 8

Section 2 – Command, Control and Co-ordination 9
2.1 Integrated Emergency Management Framework 9
2.2 Local authority initial response 9
2.3 National command and control structure 10
2.4 Operational level 10
2.5 Local Co-ordinating Group (LCG) 12
2.6 Tactical Co-ordinating Group (TCG) 12
2.7 Strategic Co-ordinating Group (SCG) 13
2.8 Norwich City Council Command and Control Structure 14
2.9 Norwich City Council alerting procedures and initial actions 14
2.10 Strategic Emergency Management Team (Gold) 16
2.11 Tactical Emergency Management Team (Silver) 17
2.12 Emergency control room 18

Section 3 – Emergency roles and responsibilities 19
3.1 Norwich City Council 19
3.2 Chief Executive 20
3.3 Emergency Director (appointed by Chief Executive) 20
3.4 Executive Director of Corporate and Commercial Services (S151 Officer) 21
3.5 Executive Director of Community Services 21
3.6 Executive Director of Development and City Services 22
3.7 NRF Strategic Co-ordinating Group (SCG) representative 23
3.8 Head of Customers, IT and Digital 23
3.9 Head of Environment Services 24

3.10 Head of Finance, Audit and Risk ... 24
3.11 Head of Housing and Community Safety ... 25
3.12 Head of HR & Organisational Development ... 25
3.13 Head of Legal and Procurement (Monitoring Officer) ... 26
3.14 Head of Planning and Regulatory Services ... 26
3.15 Head of Property and Economic Development ... 27
3.16 Head of Strategy, Engagement and Culture ... 28
3.17 Public Protection Manager – now EH & PP Manager ... 28
3.18 NRF Tactical Co-ordinating Group (TCG) Representative ... 29
3.19 Emergency Planning Manager ... 29
3.20 Emergency Planning Duty Officer ... 30
3.21 Rest Centre Manager ... 31
3.22 Emergency Support Staff ... 32
3.23 Elected members ... 32

Section 4 – Emergency Control Room ... 34
4.1. Staffing level ... 34
4.2. Activation ... 35

Section 5 – Resilient telecommunications ... 36
5.1. Telecommunications ... 36
5.2. Available systems ... 36
Section 6 – Rest Centres ... 37
6.1. Activation of rest centres ... 37
6.2. Staffing and resources ... 37
6.3. Organisation ... 37
6.4. Humanitarian assistance ... 38

Section 7 – Public information and media ... 39
7.1. Communications ... 39
7.2. Responsibilities ... 39
7.3. Co-ordination ... 39
7.4. Connecting in a Crisis ... 40
7.5. Customer contact centre ... 40
7.6. Media activity on site ... 40
7.7. Rest centres and the media ... 40
7.8. Recovery phase ... 41

Section 8 – Finance ... 42
8.1. Emergency costs – capturing expenditure ... 42
8.2. Bellwin Scheme – emergency financial assistance to local authorities ... 42
8.3. Disaster Appeal Fund ... 42
8.4. Insurance ... 43

Section 9 – Staff welfare ... 44
9.1. Staff requirements ... 44
9.2. Staff briefing/debriefing ... 44

Section 10 – Recovery strategy 45
10.1. Definition of Recovery 45
10.2. Actions during response phase 45
10.3. Principles of recovering from emergencies 46
10.4. Response and recovery structure 47
10.5. Recovery Co-ordinating Group (RCG) 48
10.6. Transfer of ownership from response to recovery 48
10.7. Recovery timelines 49
10.8. Stand down of Recovery Co-ordinating Group 50
Section 11 – Training strategy 51
11.1. CCA requirement 51
11.2. Training programme 51

Annex: The annex to the Emergency Management Strategy – Emergency Planning Duty Officer Procedures - forms a separate document due to the restricted information contained therein

Purpose of the Plan

This document is designed to outline the agreed arrangements for effective emergency management which supports the common objectives of the Norfolk Resilience Forum (NRF):

- Saving and protecting life
- Relief of suffering
- Protecting the health and safety of personnel
- Containing an incident, limiting its escalation or spread and mitigating its impact
- Safeguarding the environment
- Protecting property, as far as is reasonably practicable
- Providing the public with accurate and timely information
- Maintaining critical services
- Maintaining normal services at an appropriate level
- Facilitating investigations and enquiries
- Promoting and facilitating self help in the community
- Facilitating the recovery of the community (including mitigating the humanitarian, economic, infrastructure and environmental impacts)
- Evaluating the response and recovery effort
- Identifying and taking action to implement lessons identified.

Extract from Emergency Response and Recovery 2.5.4

This document outlines the role of Norwich City Council and its response to, and recovery from, a major or significant emergency by:

- Outlining the council's procedures to support Category 1 and 2 Responders[1], voluntary agencies and the public involved in an incident
- Outlining the council's strategy for managing the return towards normality (recovery) for the community of Norwich after a major or significant emergency
- Providing guidance to all employees who are required to respond at the strategic, tactical and operational level so they are aware of their decision-making responsibilities and the need for the preservation and protection of records relating to an incident.

Protocols

This plan will be reviewed every two years or beforehand if legislation or best practice guidance necessitates immediate amendment. The master copy and a record of review and decision making process will be held by the Emergency Planning Manager (EPM).

Heads of Service are requested to notify the EPM of any changes within their departments that may impact on the contents or procedures outlined in this document.

[1] As defined in the Civil Contingencies Act 2004 – a list is provided on page 1

Distribution List

Internal
Chief Executive
Executive Director of Corporate & Commercial Services
Executive Director of Community Services
Executive Director of Development & City Services
Head of Planning & Regulatory Services
Head of Environment Services
Head of Property & Economic Development
Head of Finance, Audit & Risk
Head of HR & Organisational Development
Head of Legal & Procurement (Monitoring Officer)
Head of Housing & Community Safety
Head of Strategy, Engagement & Culture
Head of Customers, IT & Digital
Environmental Health & Public Protection Manager
Emergency Planning Manager
Norwich City Council Intranet
Resilience Direct – Norwich City Council Plans

Director of Housing Delivery
Norwich Regeneration Limited
Norwich City Services Limited

Record of amendments

Amendment No	Date	Amendment	Signed
Draft v.1	5/5/21	New document	Teresa Cannon

If any amendments are required to this plan please contact:

Emergency Planning Manager
Norwich City Council
City Hall
St Peter's Street
Norwich
NR2 1NH

Tel: 01603 989262
Email: emergencyplanning@norwich.gov.uk

Abbreviations/glossary

ABI	Association of British Insurers
Bellwin Scheme	Discretionary scheme for providing central government financial assistance in exceptional circumstances to affected local authorities in the event of a major incident
Bronze	Operational level of an emergency
CCA	Civil Contingencies Act 2004
COBR	Cabinet Office Briefing Room
COMAH	Control of Major Accident Hazards
CRR	Community Risk Register
DEFRA	Department of the Environment, Food and Rural Affairs
Emergency Control Room	Operations centre from which Norwich City Council will co-ordinate its response
EPDO	Emergency Planning Duty Officer
FSA	Foods Standard Agency
GLO	Government Liaison Officer
Gold	Strategic level management (Norwich City)
HAC	Humanitarian Assistance Centre - a focal point for information and assistance to families and friends and those directly affected by an emergency
JRLO	Joint Regional Liaison Officer (Military)
LA	Local authority
LALO	Local authority liaison officer
LCG	Local Co-ordinating Group (multi-agency)
LGD	Lead Government Department
MACA	Military Aid to the Civil Authority – the overarching term covering all categories of aid which the Ministry of Defence may provide to the civil authorities
MHCLG	Ministry of Housing, Communities and Local Government
NCC	Norfolk County Council
NERG	Norfolk Emergency Response Guidance
NHS	National Health Service
NRF	Norfolk Resilience Forum
RAYNET	Radio Amateurs Emergency Network
RCG/RWG	Recovery Co-ordinating Group/Recovery Working Group
SCG	Strategic Co-ordinating Group (multi-agency)
Silver	Tactical level management (Norwich City)
STAC	Science and Technical Advice Cell – a sub group of the SCG and RCG to provide strategic direction, co-ordination and assessment of health, scientific and environmental protection issues.
TCG	Tactical Co-ordinating Group (multi-agency)

Section 1 – Introduction and Strategy

1.1 Introduction

Emergencies occur on a regular basis and are usually dealt with by the emergency services or local authority service areas as a matter of routine. A major incident is one that is greater in effect and requires a co-ordinated response from all the agencies involved.

The Norfolk Resilience Forum (NRF) sets the strategy to be adopted for such an event in the Norfolk Emergency Response Guidance (NERG), which outlines the agreed procedures and arrangements for effective integrated multi agency command, control and co-ordination when dealing with all phases of emergencies in Norfolk. Each agency will in addition have its own plans specific to the role of the service concerned.

The Civil Contingencies Act 2004 requires Category 1 and Category 2 responders in a local resilience area to co-operate with each other in connection with the performance of duties under the legislation. The statutory Local Resilience Forum has been established in Norfolk and is known as the Norfolk Resilience Forum (NRF). The NRF is the collective name for all groups within the framework.

Membership involves organisations identified as Category 1 and Category 2 organisations within the legislation, plus many other agencies. All organisations represented within the NRF make valuable contributions to the wider community resilience planning activity in Norfolk, before, during and after an emergency.

Category 1 Responders

- Borough Council of King's Lynn & West Norfolk
- Breckland Council
- British Transport Police
- Broadland District Council
- East of England Ambulance Service NHS Trust
- Environment Agency
- Great Yarmouth Borough Council
- James Paget Hospital NHS Trust
- Maritime and Coastguard Agency
- NHS England East Anglia Area Team
- Norfolk & Norwich University Hospital NHS Trust
- Norfolk Constabulary
- Norfolk County Council
- Norfolk Fire and Rescue Service
- North Norfolk District Council

- Norwich City Council
- Public Health England
- Queen Elizabeth Hospital Kings Lynn NHS Trust
- South Norfolk Council

Category 2 Responders

- Anglian Water Services Ltd
- Associated British Ports, King's Lynn
- BT Worldwide Networks,
- Department of Environment, Food & Rural Affairs
- East Midlands Trains
- First Capital Connect
- Great Yarmouth Port Authority
- Health & Safety Executive
- Highways England
- King's Lynn Conservancy Board
- National Grid Transco
- Network Rail (Anglian Region)
- NHS Clinical Commissioning Groups
- Norfolk Green
- Norwich Airport
- UK Power Networks

1.2 Aim of this plan

The aim of this plan is to provide guidance to facilitate a timely and effective response by Norwich City Council in the event of an emergency within the city. The procedures outlined in this plan are generic and offer a framework that can be applied to any emergency or major incident.

1.3 Reference to other plans

Reference should be made to the following plans which complement this plan and contain greater details specific to an incident:

Norwich City Council	Multi-Agency Plans (NRF)
• City Hall – Emergency Evacuation Procedure	• Briar Chemicals External Emergency COMAH Plan
• City Hall – Post Room Hazardous Substance Plan	• Cold Weather Plan for England (PHE)
• City Hall - Suspicious Package and Bomb Threat Procedure	• Heatwave Plan for England (PHE)
• MOU British Red Cross (Rest Centres)	• Norwich Airport Emergency Plan

Norwich City Council	Multi-Agency Plans (NRF)
• MOU – Norse (rest centre equipment storage area)	• Norfolk Emergency Response Guidance
• Norwich Arboricultural Services Major Emergency Escalation Plan	• Norfolk Excess Deaths, Mass Fatalities & Temporary Mortuary Plan
• Norwich Business Continuity Plans	• Norfolk Flood Response Plan
• Rest Centre Plans	• Norfolk Flood Response Plan – Norwich specific
➢ City Academy	• Norfolk Fuel Emergency Plan
➢ Hewett School	• Norfolk Humanitarian Assistance Plan
➢ King's Centre	• Norfolk Major Accident Hazard Pipeline Emergency Plan
➢ Norman Centre	• Norfolk Major Incident Communications Plan
➢ Open Academy (Heartsease)	• Norfolk Mass Casualties Plan
➢ St Andrew's & Blackfriars Halls	• Norfolk Multi Agency Strategic Holding Area (MASHA)
➢ St Francis of Assisi Primary	• Norfolk Notifiable Animal Disease Plan
➢ Vauxhall Community Hub	• Norfolk Pandemic Influenza Response Framework
	• Norfolk Recovery Guidance
	• Norfolk Resilient Telecommunications Plan (inc Airwave)
	• Norfolk Voluntary & Faith Capabilities Directory
	• Norwich City Football Club Plan

1.4 Definitions

The Civil Contingencies Act (CCA) 2004 places a duty on local authorities, as Category 1 responders, to work in partnership with other local responders in providing support during an emergency. In order to ensure that there is complete understanding of the phrases that are likely to be used they are defined as follows:

Major Incident

An event or situation, with a range of serious consequences, which requires special arrangements to be implemented by one or more emergency responder agencies.

It is vitally important that, when appropriate, a "major incident" is declared. This decision must be clear and communicated between all necessary agencies

Emergency

- An event or situation which threatens serious damage to human welfare in a place in the UK
- An event or situation which threatens serious damage to the environment of a place in the UK
- War or terrorism, which threatens serious damage to the security of the UK
- Additionally, to constitute an emergency, an event or situation must also pose a considerable test for an organisation's ability to perform its functions

For the purposes of an event or situation which threatens damage to human welfare only if it involves, causes or may cause:

- Loss of human life
- Human illness or injury
- Homelessness
- Damage to property
- Disruption of a supply of money, food, water, energy or fuel
- Disruption of a system of communication
- Disruption of facilities for transport
- Disruption of services relating to health

For the purposes of an event or situation which threatens damage to the environment only if it involves, causes or may cause:

- Contamination of land, water or air with biological, chemical or radio-active matter
- Disruption or destruction of plant life or animal life

Response

Response encompasses the decision and actions taken to deal with the immediate effects of an emergency. In many scenarios it is likely to be relatively short and to last a matter of hours or days – rapid implementation of arrangements for collaboration, coordination and communication, is therefore, vital. Response encompasses the effort to deal not only with the direct effects of the emergency itself (e.g. fighting fires, rescuing individuals) but also the indirect effects (e.g. disruption, media interest).

Recovery

In contrast to response, recovery may take months or even years to complete, as it seeks to support affected communities in the reconstruction of the physical infrastructure and restoration of emotional, social and physical well-being. Recovery is defined as the process of rebuilding, restoring and rehabilitating the community following an emergency. Although distinct from the response phase, recovery should be addressed from the very beginning, as recovery actions taken during the response phase can influence the longer-term outcomes for a community.

1.5 Type and scale

Incidents could be international, national, regional or local level in scale and generally fall into one of two categories:

Sudden impact

These occur with little or no warning and require an immediate response. Examples of this could be significant transport collisions, fires or explosions.

Slow onset

This type of event has a lead in time of days, weeks or months. It can include severe weather, flooding or pandemics.

1.6 Declaration

An emergency (as defined within the CCA) or a major incident, can be declared by any of the Category 1 Responders, who consider that any of the criteria are satisfied. It is the responsibility of the agency making the declaration to ensure all others are notified.

It must be recognised that what is an emergency as defined within the CCA to one agency may not be so to another. However, all agencies will be notified so that in appropriate cases resources can be deployed in a stand-by capacity if necessary.

1.7 Hazard assessment

One of the key requirements of the CCA is that the Norfolk Resilience Forum produces a **Community Risk Register** (CRR) that provides a collective assessment of the hazards and risks within Norfolk.

The National Risk Register forms a platform which the CRR is produced, the purpose being to identify and quantify local risks. This information is then used to inform the public, in addition to providing meaningful information to the NRF during its emergency planning, training and exercising activities. This process helps to ensure that our emergency plans are appropriate and proportionate to the identified risks, which will help to meet the needs of the community. The main risks are:

- Severe Weather
- Utility Failure
- Human health (e.g. pandemic flu, communicable disease)
- Flooding (e.g. tidal, fluvial and surface water flooding)
- Transport incidents
- Industrial accidents
- Fire/Explosion
- Social issues

Full details of the Community Risk Register are available on the Norfolk Resilience Forum website – www.norfolkprepared.gov.uk.

1.8 Norwich City Council statutory duties under the CCA

Local authorities are a highly significant Category 1 responder and have a key role in planning for an emergency, responding to an emergency and supporting the long-term recovery following an emergency. Under the CCA, Norwich City Council has the following responsibilities:

- Carry out a risk assessment and contribute to the Norfolk Community Risk Register
- Plan for emergencies, including training and exercising
- Co-operate with partner agencies to enhance co-ordination and efficiency
- Share information with partner agencies to enhance co-ordination
- Ensure arrangements are in place to warn, inform and advise the public both before and during emergencies
- Ensure robust business continuity arrangements are in place to maintain service delivery

In addition to these, local authorities have an additional statutory duty:

- To provide advice and assistance to businesses and voluntary organisations about business continuity

1.9 Responders

It is likely that the initial response to emergencies will be by the emergency services at a local level, and mutual aid arrangements would provide assistance from neighbouring areas. Depending on the scale of the incident, it is subsequently likely to involve other agencies from Norfolk, or regional and national agencies. An agreement between Norfolk local authorities for the provision of mutual aid in the event of an emergency has been signed by respective Chief Executives.

Norfolk County Council

In the event of a major incident involving two or more local authorities, the Head of Paid Service of Norfolk County Council will co-ordinate the local authority response, in consultation with the Chief Executives concerned.

Ministry of Housing, Communities and Local Government (MHCLG) – Central Resilience Team

The Central Resilience Team is based in Birmingham. In times of non-emergency the Central Resilience Team is responsible for co-ordinating emergency preparedness across the central region. In response to an emergency, the initial action is to establish communication with the SCG and to deploy a Government Liaison Officer (GLO).

During an emergency the MHCLG Co-ordinating Group and Operations Centre will be formed in the most serious circumstances. It does not become involved

in local command and control arrangements unless empowered to by emergency regulations. The precise role of the MHCLG Co-ordinating Group and Operations Centre will vary depending on the scale and nature of the emergency. Generic aspects will involve:-

- Advising on regional priorities and guiding the deployment of scarce resources.
- Facilitating mutual aid arrangements, where appropriate.
- Providing early warning of emerging major challenges and how they might best be addressed.
- Ensuring an effective flow of communication between local and national levels, including reports to the national level on the response and recovery efforts.
- Collate and maintain a strategic picture of the situation with a focus on consequence management and recovery.
- Raising to a national level any issues that cannot be resolved at a local level.
- Ensuring that the national input to response and recovery is co-ordinated with the local efforts.

Lead Government Department (LGD)

Where the scale or complexity of an emergency is such that some degree of government co-ordination or support becomes necessary, a designated Lead Government Department (LGD) will be made responsible for the overall management of the government response. Amongst the responsibilities of the LGD are to:-

- Produce a brief, accurate situation report on the nature and scale of the emergency and submit this promptly along with the central briefing for media purposes to their Minister
- Draw upon and apply the relevant capabilities applicable to the emergency in hand and if required, coordinate the support needed from other government departments and agencies through the Cabinet Office Briefing Room (COBR)
- Use its authority decisively to take whatever executive decisions and actions are needed from the centre to handle the emergency or to help local responders to deal with it

Where the LGD need scientific and technical advice they will activate a Science Advisory Group for Emergencies (SAGE).

The Insurance Industry

Experience has identified the crucial role that the insurance industry will play. Although their role is seen as focused on the recovery element, it will be of great benefit if they are engaged in the early response. This will allow them to provide responders with an overview of how they will assist those affected and preliminary activity that would be of benefit during the recovery.

As a result, the Association of British Insurers (ABI) and Chartered Institute of Loss Adjusters (CILA) will nominate a single point of contact to act on behalf of the industry. A member of the industry should be invited to join the Recovery Co-ordinating Group (RCG) once established (see Section 11).

Community

Communities play a vital role in the response to, and recovery from emergencies. They can provide resources, expertise and knowledge to support the responding agencies. Members of the community may be able to help themselves and can also provide support to local vulnerable people who may need physical assistance or reassurance.

The community may be able to advise response agencies on the different cultural or language needs of its members. Local networks that can be utilised for the dissemination of information to the local community include:

- Local neighbourhood teams
- Community groups
- Safer neighbourhood initiatives, Neighbourhood Watch etc
- Faith groups
- Local business groups and partnerships

Military

The Military may be able to provide assistance during a major emergency under existing Military Aid to the Civil Authorities (MACA) arrangements. However, it must not be assumed that assets will be automatically available. Therefore, military assistance must be viewed as an enhancement rather than integral to our response.

Contact would be made through the Brigade's Joint Regional Liaison Officer (JRLO), who is the primary focus for the integration of military UK operations with civil authorities, and who is a member of the Norfolk Resilience Forum. The Joint Doctrine Publication provides guidance for the Defence contribution to resilience in the UK. Further information is also detailed in the Norfolk Emergency Response Guidance.

1.10 **Business continuity**

Emergency Planning is primarily concerned with a co-ordinated response to an emergency and providing additional services to partner agencies and the community. The CCA also requires Local Authorities to maintain plans to ensure that they can continue to maintain their functions in the event of an emergency, so far as is reasonably practicable. The duty relates to all functions, not just their emergency response.

Through the Business Continuity Management process, procedures are developed to ensure that critical activities are maintained within agreed timescales. Business Continuity plans have been developed for each service area and are regularly reviewed and updated.

Section 2 – Command, Control and Co-ordination

2.1 Integrated Emergency Management Framework

There are three levels of control which may be established during a major emergency:

Operational: This is the level at which the management of 'hands on' work is undertaken at the site(s) of the emergency or other associated areas.

Tactical: The purpose of the Tactical Co-ordinating Group (TCG) is to ensure that the actions taken by the operational level are co-ordinated, coherent and integrated, in order to achieve maximum effectiveness and efficiency.

Strategic: Where an event or situation has an especially significant impact, substantial resource implications, involves a large number of organisations, or lasts for an extended duration; then it may be necessary to implement multi agency management at the strategic level. The multi agency forum which brings together Gold level commanders from relevant organisations is entitled the Strategic Co-ordinating Group (SCG)

Most major emergencies will be of the "sudden impact" type, therefore, command and control will start from an operational level at the scene. This may be escalated as necessary, resulting in the implementation of a tactical level of response and a strategic level should it prove necessary.

The exception to this may be for a slow onset emergency, such as a threat of flooding, where command levels may be activated independently as required. This section of the plan should be read in conjunction with the Norfolk Emergency Response Guidance and Norfolk Recovery Guidance

2.2 Local authority initial response

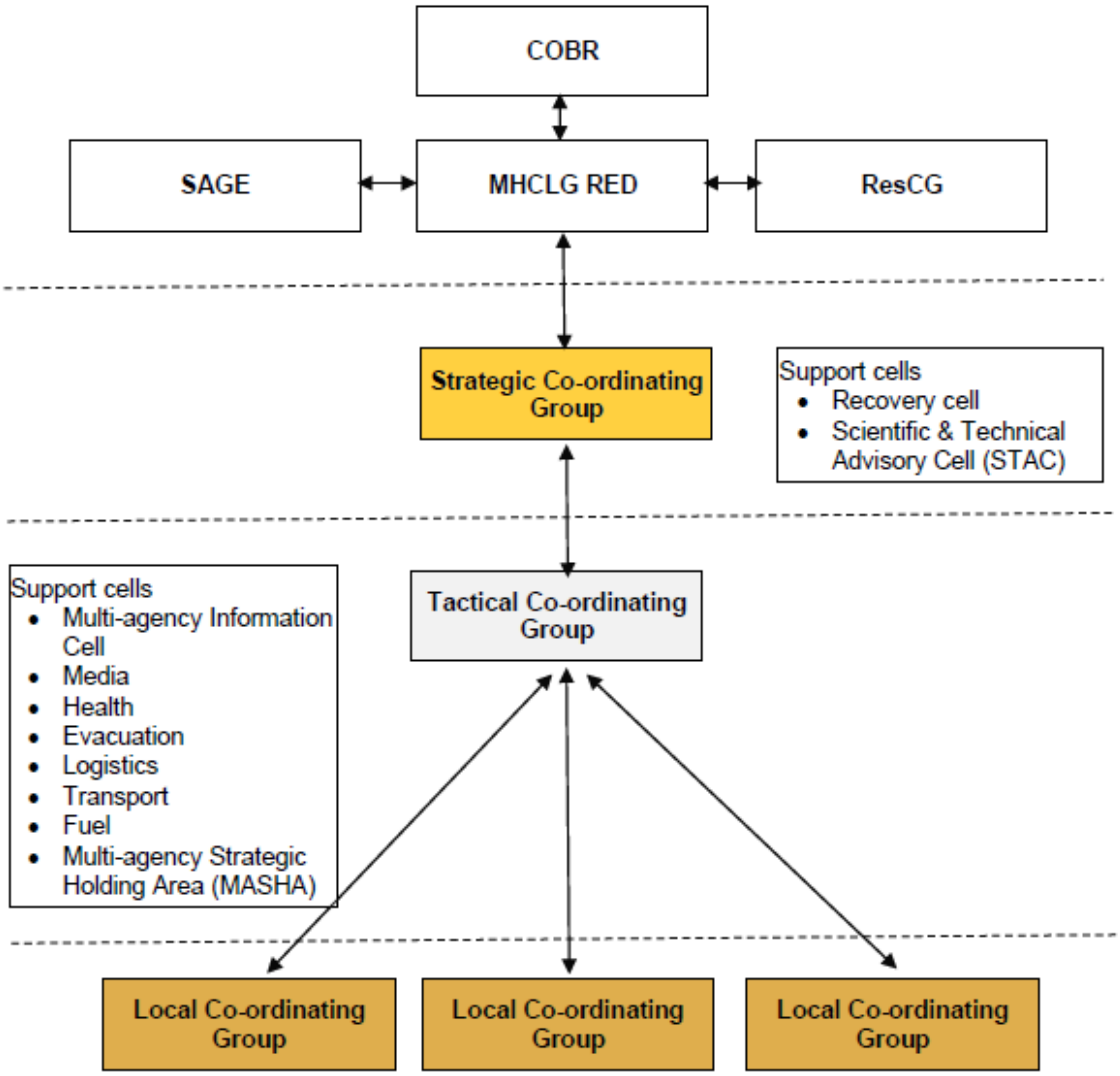
In line with the principle of the initial response to any emergency, it will be standard practice, once the alert is received, to activate the council emergency management strategy in phases as follows:

Phase One: City can deal with the incident from its own resources – advise adjoining council and county council

Phase Two: City can deal with the incident with limited support from county council or other councils

Phase Three: Incident too large or complex for the City council to manage, county council will take the lead.

2.3 National command and control structure

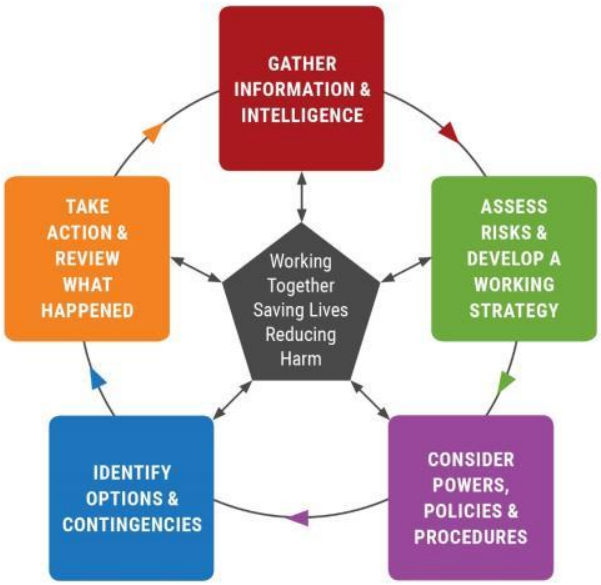


2.4 Operational level

First responders will take appropriate immediate measures and assess the nature and extent of the problem, with due regard to risk reduction measures and the health and safety of personnel.

Operational commanders or managers will concentrate their effort and resources on the specific tasks within their areas of responsibility, liaising with partners in line with the Joint Emergency Services Interoperability Principles (JESIP).

The Joint Decision Model (JDA) will be used by responders managing the incident to provide a structured decision making process:



They will act on delegated responsibility from their organisations until higher levels of management are established. Individual agencies retain control of resources and personnel deployed at the scene, but each agency must liaise and co-ordinate with all other agencies involved, ensuring a coherent and integrated effort.

The following are some of the roles fulfilled by the council at the operational level, further details on roles and responsibilities are detailed in section 3:

Role	Function
EPDO/EPM (Emergency Planning Duty Officer/ Emergency Planning Manager)	• Receive the initial call from Emergency Services, other Cat 1 or 2 responder or NCAS • Determine the level of response required and notify CEO • Call out the necessary response staff and co-ordinate the overall response • Activate Emergency Control Room as appropriate (see section 4)
LALO (Local Authority Liaison Officer)	• Represent the council at the scene and liaise with emergency services • Co-ordinate the response at the scene • Liaise with EPDO/EPM/Silver/Emergency Control Room
Rest Centre/ Reception Centre staff	• Set up and manage the operation of a Rest Centre/ Reception Centre as directed by EPDO/EPM (see section 6)
Housing Emergency Response/ Welfare of	• Lead the response to minor incidents on estates • Identify and organise care for vulnerable residents affected by the incident

Role	Function
Vulnerable Persons	• Liaise with EPDO/EPM/Emergency Control Room during any major incident or emergency
All Service Areas	• Take responsibility for managing the provision of their service in response to an emergency or disruption • Liaise with EPDO/EPM/Emergency Control Room as appropriate

2.5 Local Co-ordinating Group (LCG)

In certain incidents a Local Co-ordinating Group (LCG) may be formed to co-ordinate local activities:

- Norfolk wide incident affecting multiple districts (e.g. pandemic, severe weather)
- Localised incident that needs multi-agency co-ordination (e.g. waste site fire, gas leak, evacuation)

Some smaller incidents may only require this level of management. The decision to activate a LCG is likely to be made by the local council.

2.6 Tactical Co-ordinating Group (TCG)

The purpose of the Tactical Co-ordinating Group (TCG) is to ensure that the actions taken by the operational level are co-ordinated, coherent and integrated in order to achieve maximum effectiveness and efficiency.

It is important to understand that tactical command is role specific and not rank /management grade related. However, it will usually comprise senior officers of each agency committed within the area of operations and will assume tactical command of the event or situation. The role of the TCG is to:

- Fulfil strategic aims and objectives
- Determine priorities for allocating available resources
- Obtain additional resources if required
- Plan and coordinate how and when tasks will be undertaken
- Assess significant risks and use this to inform the tasking of operational commanders
- Ensure the health and safety of the public and personnel

The council will be represented by a local authority tactical manager (Head of Service nominated by CLT), who should be of sufficient seniority or empowered to make decisions appropriate to that set at tactical level. They may require a staff officer / tactical advisor and a loggist when attending multi agency meetings, depending on the scale of the response required.

2.7 Strategic Co-ordinating Group (SCG)

Where an event or situation has an especially significant impact, substantial resource implications, involves a large number of organisations, or lasts for an extended duration; then it may be necessary to implement multi agency management at the strategic level.

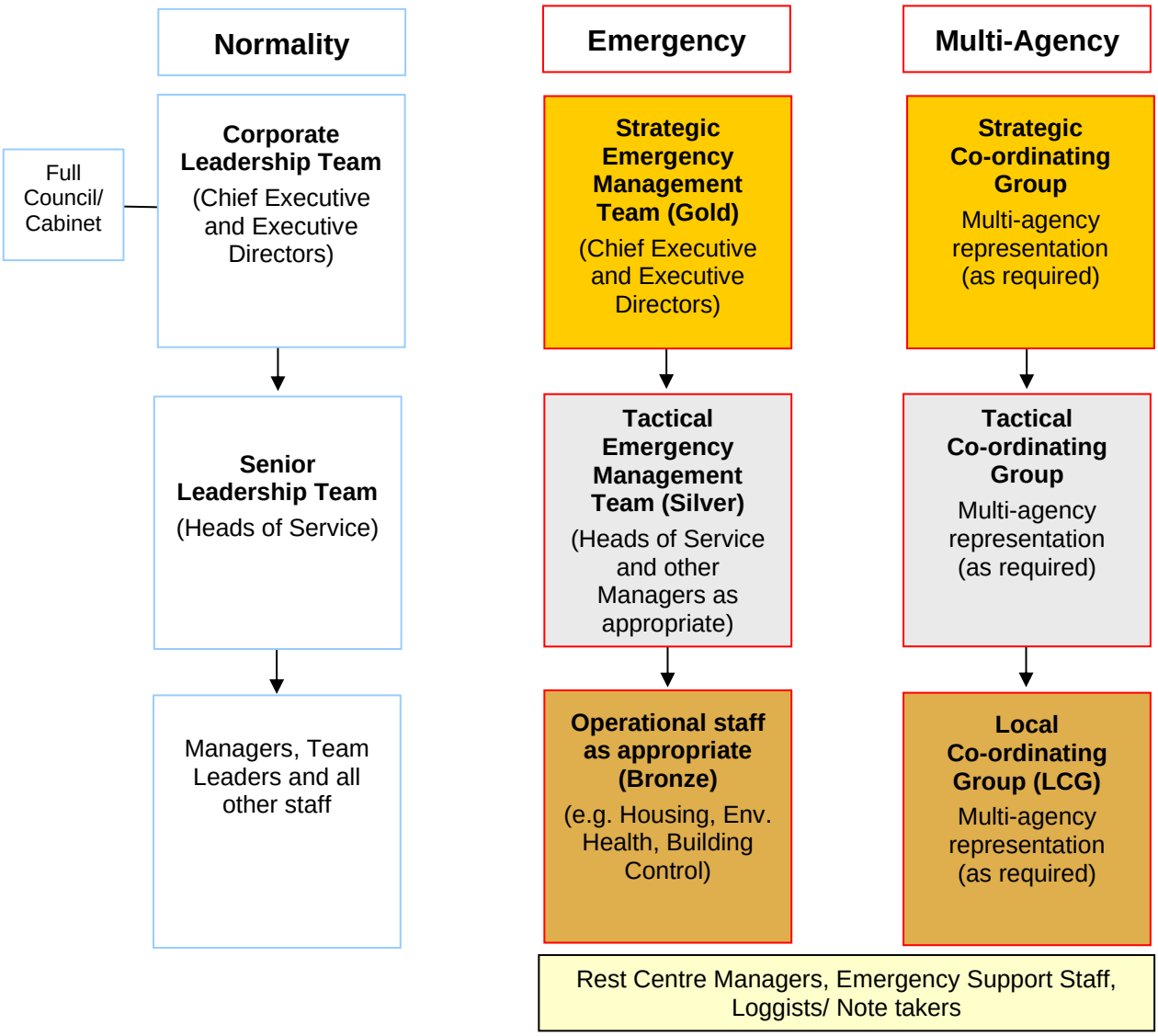
The multi agency forum which brings together Gold level commanders from relevant organisations is entitled the Strategic Co-ordinating Group (SCG). SCG members must be security cleared to attend meetings. The role of the SCG is to:

- Determine and disseminate a clear strategic aim and objectives and review them regularly.
- Establish a policy framework for the overall management of the event or situation.
- Prioritise the requirements of the tactical tier and allocate personnel and resources accordingly.
- Formulate and implement media handling and public communication plans, potentially delegating this to one responding agency.
- Direct planning and operations beyond the immediate response, in order to facilitate the recovery process.
- Ensure that legal advice is obtained if considered necessary.
- Ensure that detailed policy records are maintained.

It will usually be the role of the police to co-ordinate this management level and chair the SCG. This would be particularly appropriate where there is an immediate threat to life, a possibility the emergency was the result of criminal activity or significant public order implications. However, depending on the nature of the emergency, this role may be undertaken by another agency.

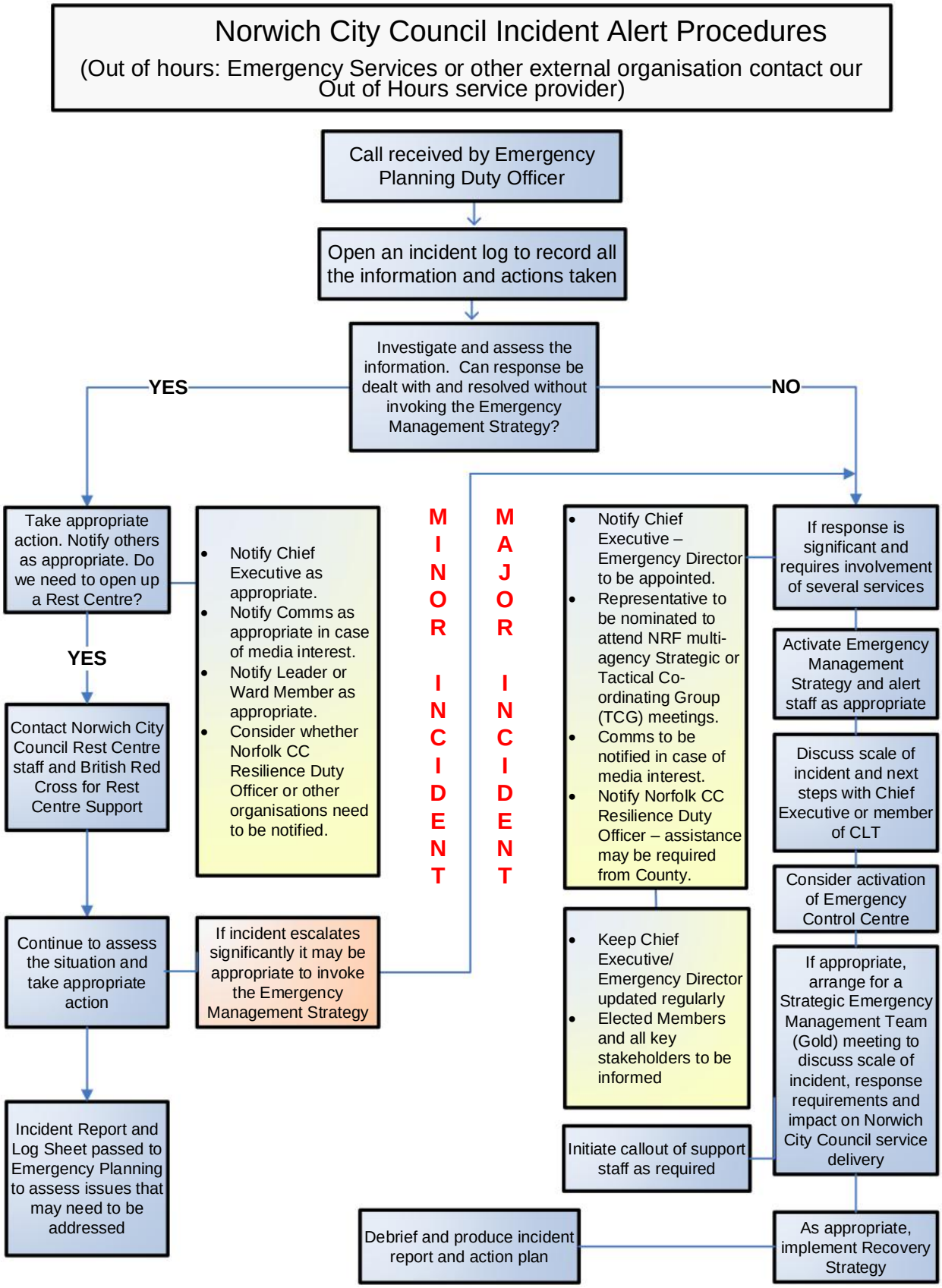
The council will be represented by the Chief Executive or nominated Emergency Director. The council strategic (Gold) commander may require a staff officer / tactical advisor and loggist when attending multi agency meetings.

2.8 Norwich City Council Command and Control Structure



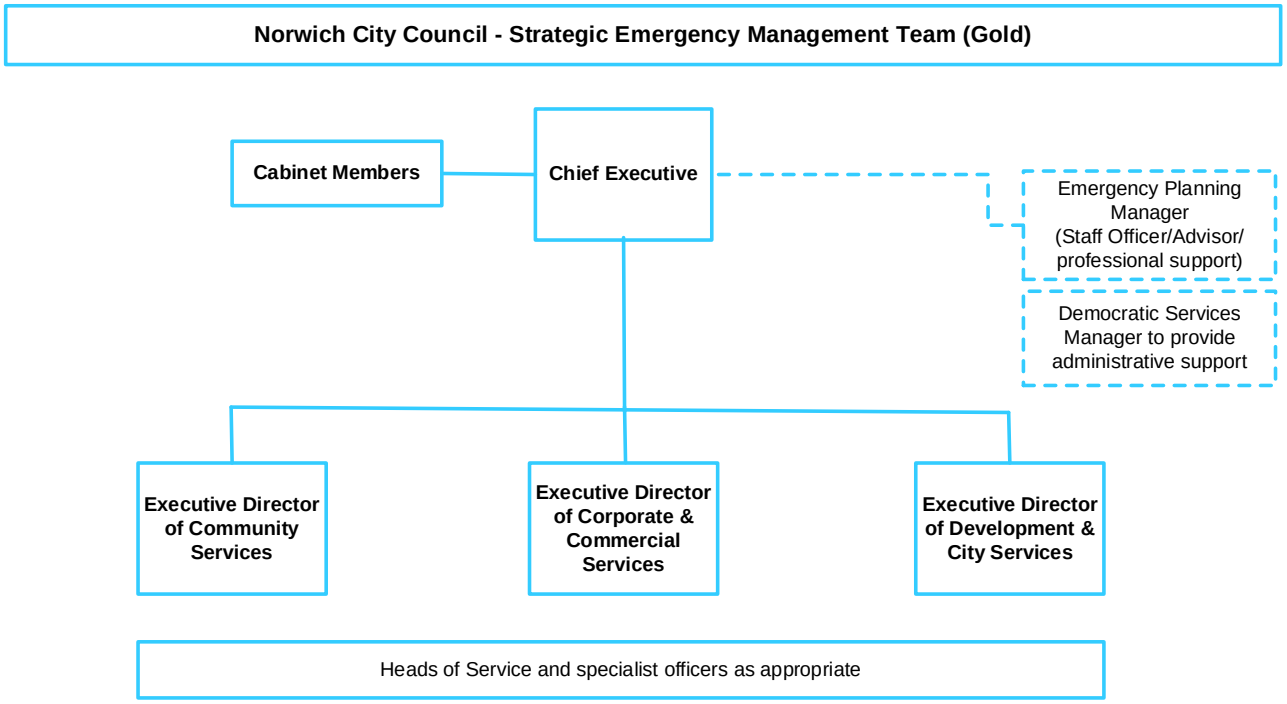
2.9 Norwich City Council alerting procedures and initial actions

- Emergency planning is normally the focal point for initial contact and assessment of developing emergency situations.
- Emergency planning will inform the Chief Executive or member of the Corporate Leadership Team of a declared major emergency or developing emergency situation.
- The Chief Executive will be responsible for the overall strategic co-ordination of the council's response to any emergency.
- The Chief Executive will consider the need to appoint an Emergency Director to manage the co-ordination of the council tactical response.
- As soon as the potential for a major emergency is identified and it has potential to cause a major disruption to the provision of the council's services and/or a significant impact on the community, the Chief Executive will decide if a Strategic Emergency Management Group meeting should be convened.


Norwich City Council Incident Alert Procedures
(Out of hours: Emergency Services or other external organisation contact our Out of Hours service provider)
Call received by Emergency Planning Duty Officer
Open an incident log to record all the information and actions taken
Investigate and assess the information. Can response be dealt with and resolved without invoking the Emergency Management Strategy?
YES
NO
Take appropriate action. Notify others as appropriate. Do we need to open up a Rest Centre?
YES
Contact Norwich City Council Rest Centre staff and British Red Cross for Rest Centre Support
Continue to assess the situation and take appropriate action
Incident Report and Log Sheet passed to Emergency Planning to assess issues that may need to be addressed
Notify Chief Executive as appropriate.
Notify Comms as appropriate in case of media interest.
Notify Leader or Ward Member as appropriate.
Consider whether Norfolk CC Resilience Duty Officer or other organisations need to be notified.
If incident escalates significantly it may be appropriate to invoke the Emergency Management Strategy
MINOR INCIDENT
MAJOR INCIDENT
Notify Chief Executive – Emergency Director to be appointed.
Representative to be nominated to attend NRF multi-agency Strategic or Tactical Co-ordinating Group (TCG) meetings.
Comms to be notified in case of media interest.
Notify Norfolk CC Resilience Duty Officer – assistance may be required from County.
Keep Chief Executive/ Emergency Director updated regularly
Elected Members and all key stakeholders to be informed
If response is significant and requires involvement of several services
Activate Emergency Management Strategy and alert staff as appropriate
Discuss scale of incident and next steps with Chief Executive or member of CLT
Consider activation of Emergency Control Centre
If appropriate, arrange for a Strategic Emergency Management Team (Gold) meeting to discuss scale of incident, response requirements and impact on Norwich City Council service delivery
Initiate callout of support staff as required
As appropriate, implement Recovery Strategy
Debrief and produce incident report and action plan

2.10 Strategic Emergency Management Team (Gold)

The overall strategic management and co-ordination of the council response to the emergency will be the responsibility of the Strategic Emergency Management Group.



As the Chief Executive may need to attend strategic meetings at the NRF multi agency SCG or similar, a deputy chair of the Strategic Emergency Management Team should be appointed. Other members of the team may need to nominate deputies for the same reason.

Examples of generic strategic objectives:

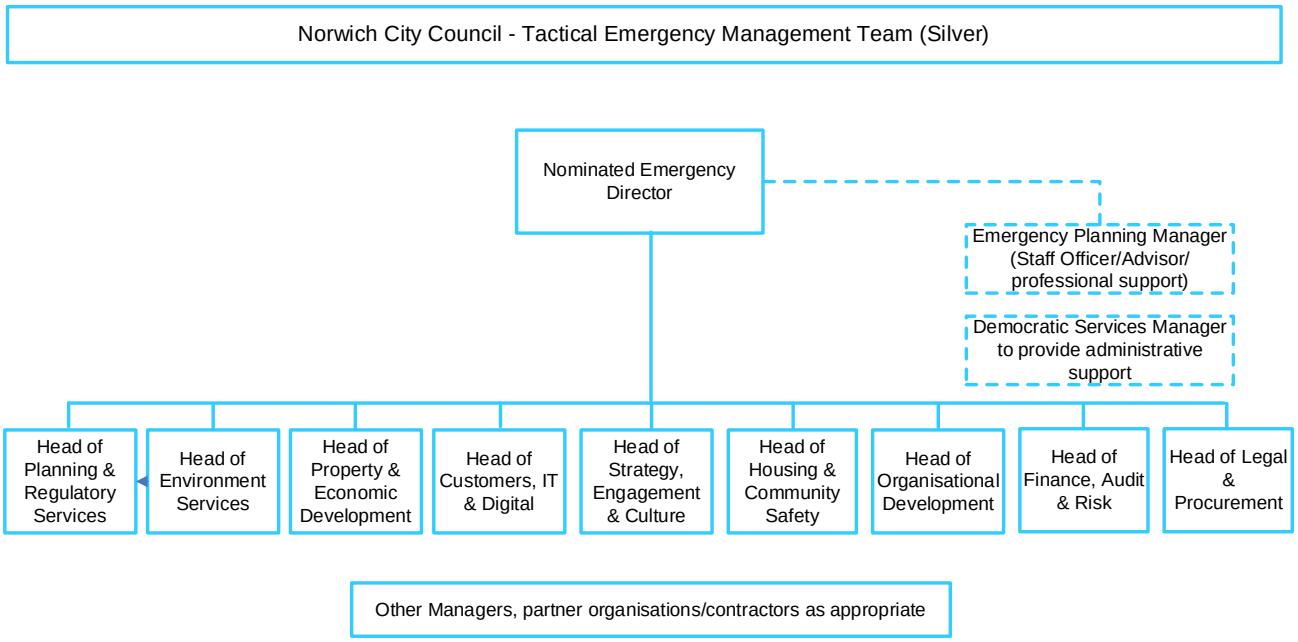
- To provide public reassurance by delivering an appropriate information, communications and media strategy that ensures the delivery of timely, accurate and consistent messages to the public, members, staff and media.
- To co-ordinate a multi-agency response designed to minimise the economic impact to residents, tourism and the business community of the city of Norwich.
- Ensure effective business continuity management and monitor the impact of the emergency on the service delivery of the council.

Sample draft agenda for strategic meetings should include the following:

1. Introduction / attendance / apologies
2. Approval of previous notes
3. Current situation (including updates from SCG/TCG)
4. Business impact assessment
5. Community impact assessment
6. Key issues/ review of options
7. Strategic / policy decisions – determine & review previous meeting policies
8. Communication strategy (internal, external and members)
9. Recovery (short, medium and long term key issues)
10. Summary of actions allocated
11. Any Other Business
12. Time of the next meeting / organisations to attend

2.11 Tactical Emergency Management Team (Silver)

The core membership of the council Tactical Emergency Management Team is outlined in the following diagram, although membership will depend on the type of emergency and may include representatives from external agencies/organisations as required. The chair of the Tactical Emergency Management Team will be an Emergency Director nominated by the Chief Executive.



The team will be responsible for decision making at a tactical level and will ensure the council response is co-ordinated and structured, providing support to those staff deployed to the emergency site or to other controls that might have been set up.

The team will ensure that the Chief Executive and Strategic Emergency Management Team is kept fully briefed on what is occurring and how the council is responding.

The impact of a major emergency can place considerable demands on the resources of the authority and pose significant challenges to the day-to-day service delivery. Effective business continuity management is essential to maintain the service delivery of the council.

2.12 **Emergency control room**

The Emergency Control Room is located in room 207a.

The room is equipped with a range of IT and equipment to enable it to be used as the council's co-ordination centre when responding to emergency incidents.

Section 3 – Emergency roles and responsibilities

3.1 Norwich City Council

The main responsibilities of the council in the event of an emergency will be as directed by the Chief Executive. They will include:

- Provide support to the emergency services both during and in the immediate aftermath of an incident.
- Establish liaison with appropriate police command levels, including the deployment of Local Authority Liaison Officers (LALO) where necessary.
- Use local authority resources to assist with the mitigation of the effects on people, property and infrastructure.
- Management of rest centres, survivor reception centres, family and friends reception centres and humanitarian assistance centre as required.
- Arrange temporary accommodation for persons made homeless as a result of the emergency or major incident.
- Act or advise on any environmental matter resulting from the emergency.
- Provide investigating and enforcement officers under the provision of the Food and Environmental Protection Act 1985.
- Provide advice on dangerous structures.
- Alert voluntary organisations as necessary and co-ordinate their response.
- Co-ordinate post-trauma stress counselling, in conjunction with the health service providers and voluntary organisations.
- Establish liaison with the police press centre to ensure the co-ordination of the release of information to the news media.
- Provide information and advice to the public.
- As the emphasis moves from response to recovery, assume the co-ordinating role to facilitate the rehabilitation of the community and restoration of the environment.
- Support the physical, social, economic and psychological recovery of the community.
- Assist Norfolk County Council in establishing a temporary mortuary if required.
- Request military assistance if required.
- Maintain the council's critical functions as detailed in the Corporate Business Continuity Plan.

3.2 Chief Executive

- Assume overall responsibility and co-ordination of all Norwich City Council measures to deal with an emergency during the response and recovery phases.
- Attend multi-agency NRF Strategic Co-ordinating Group (SCG) meetings.
- Establish and chair the council Strategic Emergency Management Team (Gold) meetings.
- Appoint an Emergency Director to co-ordinate and manage the council's strategic/tactical response (Silver) to an emergency, as required.
- Be responsible for authorising the commitment of resources and financial aid.
- Determine the council's media/public information strategy in respect of the incident.
- Ensure "preserve and protect" policy is implemented to preserve documents, records and logs relating to the emergency.
- Ensure the Leader of the council and other elected members, as appropriate, are kept informed throughout the emergency.
- Ensure critical activities are maintained in accordance with business continuity plans.
- Liaise with the Head of Paid Service, Norfolk County Council, or other local authority and MHCLG as appropriate.
- Authorise requests for military assistance in liaison with the Head of Paid Service, Norfolk County Council, as necessary.
- Chair of SCG, when the responsibility for strategic co-ordination has been transferred from the police and the emergency has moved from the response to the recovery phase.
- In conjunction with the Head of Paid Service, Norfolk County Council and Norfolk Community Foundation, consider establishing a Disaster Appeal Fund.
- Participate in Gold duty rota.

3.3 Emergency Director (appointed by Chief Executive)

- The Emergency Director will be appointed by the Chief Executive for the duration of the emergency and will be responsible for the co-ordination and management of the council's tactical response (Silver) to an emergency, as required.
- Nominate an officer to represent the council at the multi-agency NRF Tactical Co-ordinating Group (TCG), as required.
- Attend the council Strategic Emergency Management Team (Gold) meetings.
- Establish and chair the Tactical Emergency Management Team (Silver) meetings, and appoint a deputy chair of the group.
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.
- Undertake the role of chair of the Recovery Co-ordinating Group in the recovery phase.

3.4 Executive Director of Corporate and Commercial Services (S151 Officer)

- In the event of the CEO not being available, undertake the role and responsibilities outlined in 3.2, as directed.
- Undertake the role of Emergency Director as required by the CEO.
- Attend multi-agency NRF Strategic Co-ordinating Group (SCG) meetings as required.
- Attend the council Strategic Emergency Management Team (Gold) meetings.
- If it becomes clear that expenditure is likely to be significant, seek central government guidance affecting the payment of grant towards the cost of responding to the emergency.
- Be aware of claims that can be made under the Bellwin Scheme of financial assistance to local authorities.
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.
- Issue instructions for the use of special expenditure accounting code for all costs that can be attributed to the emergency.
- Provide necessary financial arrangements to support the council's activities in accordance with local government legislation.
- Make available supplementary funds to meet operational needs in excess of departmental budgets as permitted by legislation.
- Make provisions for the management of Disaster Appeal/Fund in conjunction with the CEO, as required.
- Co-ordinate all issues relating to finance and insurance provision, including the call out of the Association of British Insurers if required.
- Ensure critical activities are maintained in accordance with business continuity plans.
- Ensure provision of staff to attend rest centre/humanitarian assistance centre to give advice on benefits as required.
- Ensure release of emergency support staff from service areas to provide support to the council's response to an emergency, as required.
- Participate in Gold duty rota.

3.5 Executive Director of Community Services

- In the event of the CEO not being available, undertake the role and responsibilities outlined in 3.2, as directed.
- Undertake the role of Emergency Director as required by the CEO.
- Attend multi-agency NRF Strategic Co-ordinating Group (SCG) meetings as required.
- Attend the council Strategic Emergency Management Team (Gold) meetings.
- Ensure a co-ordinated approach to the provision of services to council tenants and residents during the response and recovery phases of an emergency.

- Co-ordinate emergency housing arrangements for council and private housing depending on the nature of the emergency.
- Prepare a communications strategy and ensure staff are familiar with procedures.
- Ensure liaison with partner agencies to ensure co-ordination of information to the news media (achieved through the NRF Media Cell if established).
- Arrange for a communications representative to attend a multi-agency NRF Media Cell at SCG, if required.
- Arrange for a council spokesperson as required.
- Consider the use of a dedicated information helpline.
- Produce FAQs for the customer contact centre, including the updating of the council website and monitoring of social media sites, in conjunction with other agencies involved in the response.
- Provide public relations for any Disaster Appeal Fund that may be launched.
- Ensure provision of appropriate ICT support is provided in response to an emergency.
- Provide advice and information of useful contacts within local communities who may assist with identifying vulnerable persons that may be affected by the emergency, as appropriate.
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.
- Ensure critical activities are maintained in accordance with business continuity plans.
- Ensure release of emergency support staff from service areas to provide support to the council's response to an emergency, as required.
- Participate in Gold duty rota.

3.6 Executive Director of Development and City Services

- In the event of the CEO not being available, undertake the role and responsibilities outlined in 3.2, as directed.
- Undertake the role of Emergency Director as required by the CEO.
- Attend multi-agency NRF Strategic Co-ordinating Group (SCG) meetings as required.
- Attend the council Strategic Emergency Management Team (Gold) meetings.
- Ensure a co-ordinated operational response in respect of council property services (NPS Norwich).
- Co-ordinate activities which are designed to both make good and initiate further preventative work.
- Ensure engagement with key stakeholders and local businesses as appropriate.
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.

- Ensure critical activities are maintained in accordance with business continuity plans.
- Ensure release of emergency support staff from service areas to provide support to the council's response to an emergency, as required.
- Participate in Gold duty rota.

3.7 NRF Strategic Co-ordinating Group (SCG) representative

- The purpose of the SCG is to take overall responsibility for the multi-agency management of the emergency and to establish the policy and strategic framework within which lower tier command and coordinating groups will work.
- SCG supports the activities undertaken at operational and tactical levels and has the role of providing financial support for the emergency response.
- Any requests to neighbouring counties and central government for assistance in the form of mutual aid would be made by the SCG.
- The format and frequency of meetings will be determined by the scale and nature of the event and will need to be scheduled not to conflict with any regional co-ordination or national meetings.
- Determine and communicate a clear strategic aim and objectives and review them regularly.
- Establish a policy framework for the overall management of the event or situation.
- Prioritise the requirements of the tactical tier and allocate personnel and resources accordingly.
- Formulate and implement media handling and public communication plans, potentially delegating this to one responding agency.
- Direct planning and operations beyond the immediate response in order to facilitate the recovery process.
- Ensure that legal advice is obtained if considered necessary.

3.8 Head of Customers, IT and Digital

- Attend multi-agency NRF Tactical Co-ordinating Group or Local Co-ordinating Group meetings as required.
- Attend council Tactical Emergency Management (Silver) meetings as required.
- Act in support of the tactical and operational response and recovery as required.
- Ensure customer contact centre is provided with information and staff to enable customer enquiries to be dealt with efficiently
- Consider the use of a dedicated information helpline.
- Ensure provision of appropriate ICT support is provided in response to an emergency.

- Ensure critical activities are maintained in accordance with business continuity plans.
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.
- Ensure release of emergency support staff from service areas to provide support to the council's response to an emergency, as required.
- Participate in Silver duty rota.

3.9 Head of Environment Services

- Attend multi-agency NRF Tactical Co-ordinating Group or Local Co-ordinating Group meetings as required.
- Attend council Tactical Emergency Management (Silver) meetings as required.
- Obtain scientific and/or medical advice in relation to the release of any hazardous substance if needed. Advise on clearance of environmental health hazards from the incident site.
- Assist Norfolk County Council in establishing a temporary mortuary if required.
- Overall co-ordination of the council's tactical and operational response for the following services:
    - Waste and recycling
    - Street cleaning (client to Norwich City Services Limited)
    - Parks and open spaces
    - Play areas and trees
    - Allotments
    - Cemeteries
    - Parking and civil enforcement
    - Markets
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.
- Ensure critical activities are maintained in accordance with business continuity plans
- Ensure release of emergency support staff from service areas to provide support to council's response to an emergency, as required.
- Participate in Silver duty rota.

3.10 Head of Finance, Audit and Risk

- Attend multi-agency NRF Tactical Co-ordinating Group or Local Co-ordinating Group meetings as required.
- Attend council Tactical Emergency Management (Silver) meetings as required.

- Act in support of the tactical and operational response and recovery as required.
- Be aware of claims that can be made under the Bellwin Scheme of financial assistance to local authorities.
- Issue instructions for the use of special expenditure accounting code for all costs that can be attributed to the emergency.
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.
- Ensure critical activities are maintained in accordance with business continuity plans
- Ensure release of emergency support staff from service areas to provide support to the council's response to an emergency, as required.
- Participate in Silver duty rota.

3.11 **Head of Housing and Community Safety**

- Attend multi-agency NRF Tactical Co-ordinating Group or Local Co-ordinating Group meetings as required.
- Attend council Tactical Emergency Management (Silver) meetings as required.
- Act in support of the tactical and operational response and recovery as required.
- Co-ordination of response and support for council tenants as appropriate.
- Co-ordinate emergency housing arrangements for council and private housing depending on the nature of the emergency.
- Appoint Housing Emergency Response Officer to lead on the response, to identify and organise care for vulnerable residents affected by the incident.
- Arrange for maximum effective use of the council CCTV system during both the response and recovery phases of an emergency.
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.
- Ensure critical activities are maintained in accordance with business continuity plans
- Ensure release of emergency support staff from service areas to provide support to the council's response to an emergency, as required.
- Participate in Silver duty rota.

3.12 **Head of HR & Organisational Development**

- Attend multi-agency NRF Tactical Co-ordinating Group or Local Co-ordinating Group meetings as required.
- Attend council Tactical Emergency Management (Silver) meetings as required.
- Act in support of the tactical and operational response and recovery as required.

- Advise Gold and Silver on matters affecting council employees which have occurred as a result of the emergency response.
- Co-ordinate the provision of HR support on issues arising as a result of the emergency (e.g. working arrangements, emotional support and well-being)
- If additional staff are required to provide support in the response to an incident, provide assistance in identifying additional staff and arrange for their deployment if the situation demands
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.
- Ensure critical activities are maintained in accordance with business continuity plans.
- Ensure release of emergency support staff from service areas to provide support to the council's response to an emergency, as required.
- Participate in Silver duty rota.

3.13 **Head of Legal and Procurement (Monitoring Officer)**

- Attend multi-agency NRF Tactical Co-ordinating Group or Local Co-ordinating Group meetings as required.
- Attend council Tactical Emergency Management (Silver) meetings as required.
- Act in support of the tactical and operational response and recovery as required.
- Identify and advise on potential areas of risk and liability.
- Provide legal advice to ensure the council fulfils its lawful obligations and statutory duties.
- Co-ordinate the emergency purchase of equipment as appropriate.
- Ensure communication is established and maintained with the affected wards Members.
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.
- Ensure critical activities are maintained in accordance with business continuity plans
- Ensure release of emergency support staff from service areas to provide support to the council's response to an emergency, as required.
- Participate in Silver duty rota.

3.14 **Head of Planning and Regulatory Services**

- Attend multi-agency NRF Tactical Co-ordinating Group or Local Co-ordinating Group meetings as required.
- Attend council Tactical Emergency Management (Silver) meetings as required.
- Overall co-ordination of the council's tactical and operational response for the following services:

  - Emergency planning
  - Environmental health
  - Environmental protection
  - Food safety
  - Health & safety
  - Licensing
  - Planning
  - Public protection
- Provide advice on dangerous structures.
- Advise on any significant planning and building safety implications.
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.
- Ensure critical activities are maintained in accordance with business continuity plans.
- Ensure release of emergency support staff from service areas to provide support to the council's response to an emergency, as required.
- Participate in Silver duty rota.

3.15 **Head of Property and Economic Development**

- Attend multi-agency NRF Tactical Co-ordinating Group or Local Co-ordinating Group meetings as required.
- Attend council Tactical Emergency Management (Silver) meetings as required.
- Act in support of the operational and tactical response as required.
- Issue guidance to officers on building safety as required including legal position, obligations and liaison with landowner/property owners.
- Collate information on damaged property and potential demolitions during the emergency response and issue to all appropriate officers.
- Advise on any significant planning and building safety implications.
- Ensure a co-ordinated operational response in respect of council property services (NPS Norwich).
- Ensure engagement with key stakeholders as appropriate.
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.
- Ensure critical activities are maintained in accordance with business continuity plans.
- Ensure release of emergency support staff from service areas to provide support to the council's response to an emergency, as required.
- Participate in Silver duty rota.

3.16 Head of Strategy, Engagement and Culture

- Attend multi-agency NRF Tactical Co-ordinating Group or Local Co-ordinating Group meetings as required.
- Attend council Tactical Emergency Management (Silver) meetings as required.
- Act in support of the operational and tactical response as required.
- Prepare a communications strategy and ensure staff are familiar with procedures.
- Ensure liaison with partner agencies to ensure co-ordination of information to the news media (achieved through the NRF Media Cell if established).
- Arrange for a communications representative to attend a multi-agency NRF Media Cell at SCG, if required.
- Arrange for a council spokesperson as required.
- Consider the use of a dedicated information helpline.
- Produce FAQs for the customer contact centre, including the updating of the council website and monitoring of social media sites, in conjunction with other agencies involved in the response.
- Provide public relations for any Disaster Appeal Fund that may be launched.
- Ensure engagement with key stakeholders as appropriate.
- Ensure all officers maintain a log of events and record any spend which could potentially form part of a claim under the Bellwin Scheme.
- Ensure critical activities are maintained in accordance with business continuity plans.
- Ensure release of emergency support staff from service areas to provide support to the council's response to an emergency, as required.
- Participate in Silver duty rota.

3.17 Environmental Health & Public Protection Manager (vacant from 6/8/21)

- Be prepared to act or advise on any environmental matter resulting from an emergency
- Obtain scientific and/or medical advice in relation to the release of any hazardous substance as necessary. Provide guidance and advice to the public on action to be taken in respect of any release of hazardous substances – to be released through Communications Manager
- Advise on action to be taken in the event of the entry or seepage of liquid, gas or vapour into buildings, sewerage, drains or other systems. Where other agencies are involved (e.g. Highways, Utilities) consult with their appropriate representatives to ensure a co-ordinated response
- In the event of contamination of food, be prepared to assist the Department of Environment, Food and Rural Affairs (DEFRA) or the Food Standards Agency (FSA) with the monitoring and control of food at food outlets.

- In conjunction with DEFRA, the FSA, or the Science and Technical Advice Cell (STAC) prepare guidance and directions for the general public. (The primary responsibilities for release of public information would be DEFRA but there may also be a need to prepare information for release through the Communications Manager)
- Advise on decontamination as required

3.18 **NRF Tactical Co-ordinating Group (TCG) Representative**

- The purpose of the Tactical Co-ordinating Group (TCG) is to give direction and allocate resources to the operational arm of the response to achieve an efficient and effective response.
- Where a Strategic Co-ordinating Group (SCG) is yet to be convened, the tactical commander will assume responsibility for the overall co-ordination of the response. It is important to understand that tactical command is role specific and not rank/grade related.
- TCG representatives must be empowered to make decisions and commit resources on behalf of their organisation. TCG should not become directly involved in the detailed operational tasks being discharged by operational commanders.
- The TCG representative may require a staff officer/advisor and administrative support
- Key objectives:
    - Fulfil strategic aims and objectives
    - Keep SCG informed
    - Assess significant risks and use this to inform the tasking of operational commanders
    - Determine priorities for allocating resources
    - Obtain additional resources if required
    - Plan and coordinate how and when tasks will be undertaken
    - Ensure the health and safety of the public and personnel
    - Brief personnel (up and down the command chain)
    - Review and amend tactical plans as necessary
- TCG meetings should be held at regular intervals and where practicable these should be timed around the SCG meetings. This co-ordination of meeting times is sometimes referred to as the “battle rhythm”
- A summary of critical issues that the TCG may need to consider when forming a tactical plan are detailed in Appendix E of the Norfolk Emergency Response Guidance

3.19 **Emergency Planning Manager**

- Act as the first point of contact for the council regarding emergencies (e.g. fire, severe weather, flooding etc) which have the potential to affect council services or displace residents.

- Provide initial assessment of developing emergency situation and ensure arrangements are in place to respond in the event of an emergency being declared.
- Advise Chief Executive or nominated Gold representative of declared emergency or developing emergency situation.
- Initiate council response by alerting appropriate officers.
- Establish liaison with emergency services, other affected district/borough councils and the Norfolk County Council Resilience Team as appropriate, including deployment of a LALO where necessary.
- Ensure detailed records of actions taken during and after the emergency, including expenditure, are maintained.
- Provide situation reports/briefings and attend meetings as required.
- Co-ordinate the activation of rest centres, humanitarian assistance centres, evacuation centres, survivor reception centres or friends and family reception areas, as appropriate.
- Initiate call out of rest centre manager and emergency support staff and allocate roles as appropriate.
- Activate the emergency control centre as required:
    - Ensure adequate communications and IT are provided and maintained
    - Collect, collate and disseminate information concerning the emergency as appropriate
    - Ensure relevant service areas are notified as necessary, including communications and customer contact centre
    - Consider creating a rota for staff if required
- Alert and co-ordinate the voluntary organisations providing support as appropriate.
- Conduct a debrief to ensure that lessons identified from any incident are widely disseminated to everyone concerned and that emergency plans are updated accordingly.

3.20 **Emergency Planning Duty Officer**

- Act as the first point of contact for the council regarding emergencies (e.g. fire, severe weather, flooding etc) which have the potential to affect council services or displace residents.
- Maintain a detailed log of events and actions taken, providing a copy to the Emergency Planning Manager.
- Liaise with emergency services, Norfolk County Council Resilience Team, other affected district/borough councils, and out of hours service as required.
- Triage the call, gather as much information as possible using the enhanced METHANE form in EPDO procedures.

- Determine the level of response required and provide an initial assessment of the developing emergency situation to the Chief Executive or nominated Gold rota representative.
- Represent the council as the LALO at the scene of the incident in accordance with JESIP to ensure situational awareness, if required and practicable. Depending on the nature of the incident, this may be best undertaken by an officer from another service area (e.g. housing for tower block incident). Additional resources may be required to support this activity (e.g. support officer or loggist). Emergency support staff could provide support if required.
- Call out the necessary response staff, providing clear instructions and co-ordinate the overall response.
- Liaise with Emergency Planning Manager, Gold/Silver representative to maintain situational awareness and request support as required.
- If a wider council response is required, this will be managed by Silver and Gold Teams as appropriate. If the incident impacts multiple districts the multi-agency NRF response structure will also be activated.

3.21 **Rest Centre Manager**

- Act as the main point of contact for liaison between the Emergency Planning Manager/Emergency Planning Duty Officer/Norwich City Council and partner agencies at the rest centre.
- Have ultimate responsibility for the effective and efficient preparation, management and operation of a rest centre.
- Liaise with the premises manager/representative to ensure the interests of the premises are upheld.
- Ensure a log of events is maintained, keeping a note of any costs incurred.
- Set up the rest centre to receive evacuees – refer to the rest centre plan for layout plans, checklists and resources available at the site, together with the COVID-19 safe working procedure.
- Wear a high visibility vest with appropriate role designation badge.
- Check the fire risk assessment for the building and ensure the building is safe to operate in accordance with normal procedures for the premises. Ensure all staff are made aware of fire evacuation procedures as detailed in the rest centre plan.
- Delegate roles, manage and supervise staff, ensuring they wear high visibility vests displaying appropriate role designated.
- Ensure the welfare needs, health and safety of all staff and evacuees attending the rest centre.
- Ensure an information point is set up to provide information to those evacuated.
- Provide regular briefings to rest centre staff to ensure they are fully aware of any issues.
- Ensure communication is maintained with the EPM/EPDO to provide regular updates and highlight any issues or concerns.

- At closure of the rest centre, liaise with the premises manager/ representative to carry out an inspection and return furniture and other items to their normal locations. The premises should be made safe and hygienic to resume the normal activities of the venue. Details of any damage should be noted in the rest centre log and signed by both the rest centre manager and premises representative.
- Participate in training and exercising opportunities.

3.22 **Emergency Support Staff**

- Emergency support staff, employed by Norwich City Council, have volunteered, with line manager approval, to provide support in our response to an emergency. The support is invaluable and essential in providing an effective response
- Training is provided to develop skills and knowledge, which may also be of benefit to their department and day job
- Staff may be required to work in various locations (e.g. emergency control centre, rest centre) and provide support to key staff at locations away from their normal place of work
- Depending on the emergency, staff may be required to work on a shift basis or provide support outside their normal working hours
- Within a rest centre, the main activities may include:
  - Assist the rest centre manager with the effective and efficient preparation, management and operation of a rest centre.
  - Provide support to the rest centre manager with all activities undertaken within the rest centre to ensure the best possible response is provided to those evacuated.
  - Undertake the role allocated by the rest centre manager as detailed in the Norfolk Rest Centre Guidance and Rest Centre Plan.
- Within the emergency control centre, the main activities may include:
  - Providing administrative support as requested in response to the emergency
  - Collating and evaluating information within the emergency control centre
  - Produce situation reports and disseminate information
  - Keep accurate records of the information processed
  - Maintain incident logs and all associated records
- Participate in training and exercising opportunities.

3.23 **Elected members**

- Provide visible and empathetic community leadership. Councillors have a key role as the voice of the community and can be the eyes and ears ‘on the ground’ to identify the needs of individuals and the wider community and direct members of the public towards the relevant agency to get the support they need.

- Provide support and reassurance to residents, keeping calm and acting in a supportive and professional manner if tensions have become inflamed. Provide as much information as possible, including correcting inaccuracies and rumours. Building and maintaining public confidence is a critical success factor and enhances the council's reputation.
- In a situation where there are deaths or injuries, an expression of sympathy for the victims and their families should take priority. Attend any memorial or remembrance services as appropriate and assist with VIP visits, ensuring that they are sensitive to the needs of your community.
- As community representatives and figureheads, councillors have an important role to play as communities rebuild and move through periods of recovery, they can act both as the voice of the community within the council and vice versa.
- An important part of the role will be to monitor the longer term community impact of the emergency and any specific concerns which may have arisen that need to be addressed.
- Understand local communities, local vulnerabilities, community networks, assets and businesses to help develop community and personal resilience in the event of an emergency. Encourage residents to know the risks, be informed, get prepared and develop a Household or Business Emergency Plan.
- Further information is available in the LGA councillors guide to civil emergencies.

Section 4 – Emergency Control Room

4.1. Staffing level

There are three pre-planned staffing levels:

Response Level	Requirement	Situation
Initial Staffing	A monitoring only role managed by EP as part of their normal role	Stand by Severe weather/flooding.
Partial Staffing	Limited activation to include the alerting of tactical representatives and support staff as appropriate.	Specific plan or limited Norfolk County Council involvement.
Full Staffing	Full activation with deployment of staff as appropriate.	Major emergency requiring extensive Norwich City Council involvement and possibly County Council

Room 207a has been designated as the emergency control room for the council. On a day to day basis this room is used as a meeting room. Access to the room is restricted and only available through the Corporate Business Support Team.

Exact requirements will depend on the size, scope and nature of the emergency, but the following personnel could be required:

- Emergency planning
- Service area representatives appropriate to the incident (see Section 3 roles and responsibilities)
- Administrative support staff
- Other personnel as required

The centre will be the focal point for overall control and co-ordination of the council response to the incident, including:

- Collection and dissemination of information
- Briefing/meetings
- Events log and records

If more than initial staffing is required, or the staffing requirement needs to be sustained for a period of time, assistance would be co-ordinated by the Democratic Services Manager.

4.2. Activation

If an emergency or major incident has been declared, emergency planning will activate the emergency control room after consultation with the Chief Executive or appointed Emergency Director.

The room is equipped with ICT equipment and details of the contact numbers to be used would be notified to appropriate agencies upon activation.

Emergency planning is responsible for ensuring the continued state of readiness of the emergency control room. This includes the provision of equipment and having sufficient trained staff available to operate therein, or elsewhere if necessary, for the response to the emergency.

The centre would be the focal point for the co-ordination of the council's response to any major emergency.

Full details of the resources available are available in the Annex to this document, which is a restricted due to the confidential information contained therein.

Section 5 – Resilient telecommunications

5.1. Telecommunications

Telecommunications are fundamental to the effective response to any emergency. There are known limitations on some systems, especially mobile telephone networks, which place limits on their ability to handle significantly higher levels of traffic than might normally be expected in an emergency. Central government operate a number of schemes to enable diverse and more resilient communications.

The Telecommunications Sub Group (TSG) under the Norfolk Resilience Forum has developed a Norfolk Resilient Telecommunications Plan to ensure that Category 1 and 2 responders at all levels are able to communicate and share information effectively.

5.2. Available systems

The following communications are available for emergency planning use:

- **Mobile Telecommunications Privileged Access Scheme (MTPAS)**: The Emergency Planning Duty Officer phone and other appropriate mobile telephones within the council have been registered under the Mobile Telephone Privileged Access Scheme (MTPAS). This provides limited Category 1 and 2 responder personnel with priority over normal users in the event of an emergency affecting mobile telephony.

  In the event of a major incident causing disruption to communication systems affecting emergency responders, the scheme could be invoked by the police Gold commander, although careful consideration and consultation must be made before taking this action and the invocation of MTPAS is not viewed as a matter of course for all emergencies.

- **Airwave**: Encrypted digital communications system issued to licensed users within the emergency services and local authorities in Norfolk. Currently the council has two handsets which are securely stored within emergency planning, and tested on a monthly basis.

- **RAYNET (Radio Amateurs Emergency Network)**: RAYNET is a voluntary communications group that can provide emergency radio communications. There are a number of fixed locations throughout Norfolk and also the ability to provide a mobile response capability.

Section 6 – Rest Centres

6.1. Activation of rest centres

When a major emergency occurs (e.g. flooding, major fire, chemical incident) members of the public may have to be evacuated for their own safety. The evacuation can occur because their home or business has been made uninhabitable, they are close to where an emergency has taken place or an area has to be evacuated as a result of an emergency or potential for an emergency to occur.

The decision to evacuate people from their home or business normally rests with the police in consultation with other agencies responding to the emergency.

The Police will co-ordinate and manage the evacuation. However, it is the responsibility of the local authority to provide temporary shelter for those who have been made homeless or evacuated. A number of locations in Norwich have been designated as emergency rest centres for this purpose.

Additional locations have been identified for use in the event of smaller evacuations. Full details of these are listed in the Annex to this document, which is restricted due to the confidential information contained therein. It is unlikely that use of these premises would be required for longer than 48 hours.

6.2. Staffing and resources

The establishment of a rest centre will create a heavy demand for personnel and other resources. Rest centre managers and emergency support staff have received training in the management and support of rest centres. A Memorandum of Understanding is also in place with the British Red Cross for the provision of staff to assist with the management of a rest centre.

6.3. Organisation

Rest centre plans, in agreement with premises staff, have been developed for each of the locations. Emergency planning maintains copies of all plans and these are also contained within the rest centre emergency boxes located at each designated site.

Emergency bedding, blankets and personal hygiene packs are held by emergency lanning should these be required.

Advice on the procedures to be followed and further details of staff responsibilities are contained in the Rest Centre Management Guide. A copy of the guide is included in the rest centre emergency boxes and provided to rest centre managers and the British Red Cross.

6.4. Humanitarian assistance

In the aftermath of an incident, the immediate humanitarian concerns will be dealt with by the setting up of rest centres, family and friends reception centres and associated facilities. However, it is important to consider the humanitarian requirements over a longer period. If it is decided that there is a need to provide a wider range of practical and emotional support services than a rest centre can offer, the Strategic Co-ordinating Group (SCG) can authorise the setting up of a Humanitarian Assistance Centre (HAC).

Local authorities are required to take a lead in establishing a HAC, which will provide access to guidance on a range of agencies and services to allow people to make informed choices according to their needs. The aim is to have a seamless multi-agency approach to a whole range of assistance.

The composition and location of the HAC will be incident specific. Full details of this process in Norfolk are contained in the NRF Humanitarian Assistance Plan. Key functions of the HAC can be summarised as:

- A focal point for information and assistance to families and friends of those missing, injured or killed, survivors, and to all those directly affected by, and involved in, the emergency
- Enable those affected to benefit from appropriate information and assistance in a timely, coordinated manner
- Offer access to – and guidance on – a range of agencies and services – allowing people to make informed choices according to their needs
- Ensure a seamless multi-agency approach to humanitarian assistance in emergencies that should minimise duplication and avoid gaps

Section 7 – Public information and media

7.1. Communications

In the event of an emergency there will be an immediate and sustained requirement to provide timely and accurate information to the public. An emergency will attract an immediate, and probably large-scale, media response. While the emergency services and other agencies respond to the events, it is likely that local, regional, national and international media will also be arriving at the scene.

The public will turn to the media for information during an emergency. The media is a vital communications channel in providing information to people which may be important to their safety during an emergency. Therefore, it is important that the information provided is accurate, timely, joined-up, easily understood and delivered through accessible channels.

Arrangements are therefore required to:

- Provide information to the public and respond to their enquiries
- Meet the requirements of the news media.

7.2. Responsibilities

The Chief Executive is ultimately responsible for authorising the release of information and advice to the public, on behalf of the council. This may be delegated to the Head of Strategy, Engagement and Culture, who will work very closely with the Chief Executive or nominated Emergency Director.

In the event of a major emergency where a multi-agency Strategic Co-ordinating Group (SCG) is established, the media strategy will be decided at SCG meetings and a multi-agency media cell will be formed. The NRF Multi Agency Major Incident Communications Plan provides a multi-agency framework which details how agencies will work with the media and the community in its response to a major emergency.

7.3. Co-ordination

The police will normally co-ordinate the activities of all those responding to an emergency and will convene a media cell to include the emergency services and other agencies who will advise on public information and media issues.

The council will appoint a spokesperson who would always be available to the media. The communications team will, in consultation, make the necessary arrangements for assisting the media, for example, by providing photographic opportunities.

Only employees authorised to do so may talk to the press or otherwise make personal statements on behalf of the council. Prior consultation with the communications team is essential to ensure consistency in the messages and information provided. Simple factual statements, with no speculation, are the best course of action.

7.4. Connecting in a Crisis

Connecting in a Crisis is a BBC initiative that seeks to help meet the public demand for information in the event of an emergency. It is about warning and informing in the interests of public safety and concentrating on delivering essential information quickly.

The framework outlined in the NRF Multi Agency Major Incident Communications Plan ensures there are close links between responders and BBC local broadcasters on both radio and television, so that there is a means to provide essential information, warnings, advice and reassurance in the first few hours – the very time when the public are likely to be most in danger and most in need of information about what is happening or what they need to do to protect themselves. Any message advising shelter should follow the “Go In, Stay In, Tune In” format.

7.5. Customer contact centre

The customer contact centre will be used by the council as the public interface for any response to an emergency. A help line facility will exist to enable agents to respond to the majority of the enquiries that can be expected from the public.

7.6. Media activity on site

The media will probably arrive at the scene of any emergency shortly after the emergency services and other agencies. Cordons around the emergency will normally be established by the police or fire service.

A media briefing point should be set up close enough for the media to film and record at the scene, if appropriate, but far away enough for the emergency services and other agencies to work unhindered.

Early access to the scene of an emergency will ensure journalists and media organisations can report the emergency first-hand with accuracy and encourage positive reporting of how the situation is being handled. It will also help establish firm ground rules for what is and is not possible in terms of access.

7.7. Rest centres and the media

It is likely that media representatives would wish to interview persons evacuated to rest centres. There is no objection in principle to this, but the over-riding consideration of the rest centre staff must be the welfare of the

evacuees. Media are not to be allowed free access to the rest centre and staff should assure themselves that those interviewed are willing, are in a fit state of mind to be interviewed and are unlikely to suffer any adverse reaction from the experience.

Rest centre plans have pre-defined locations, where possible, that could be used for media briefings, although this must be in agreement with premises staff. Alternatively, a briefing point should be organised outside the building. Further advice is contained in the rest centre management guide and individual rest centre plans.

7.8. **Recovery phase**

Media interest is likely to be at its height in the early stages of an incident when one of the emergency services is acting as the lead agency. However, in the event of an emergency the recovery phase will continue well after the emergency services and media have left the scene. During this phase the local authority will become the lead agency and day to day recovery operations will be the responsibility of the council.

Eventually it will become possible to revert to the authority's normal management structure, which will deal with any continuing issues as part of its normal daily function. Any subsequent enquiries from the media concerning the incident will then be handled in the same way as routine media enquiries addressed to the authority.

Section 8 – Finance

8.1. Emergency costs – capturing expenditure

Responding to any emergency will inevitably have financial implications for those departments involved. Each service area will, therefore, need to ensure that a system for recording details of staff involved, action taken and expenditure incurred is in place.

The Chief Finance Officer will, if considered appropriate, issue instructions for the use of special expenditure codes for all costs that can be attributed to the emergency. The accounting accuracy of costs incurred cannot be over emphasised so that, if appropriate, claims can be made for reimbursement under the Bellwin Scheme.

8.2. Bellwin Scheme – emergency financial assistance to local authorities

The Ministry for Housing, Communities and Local Government (MHCLG) is responsible for the Bellwin Scheme. The scheme gives financial assistance to local authorities where an emergency or disaster involving destruction of or danger to life or property occurs and, as a result, one or more local authorities incur expenditure on, or in connection with, the taking of immediate action to safeguard life or property, or to prevent suffering or severe inconvenience, in their area of among its inhabitants.

There is no automatic entitlement to financial assistance. Ministers are empowered by Section 155 of the Local Government and Housing Act 1989 to decide whether or not to activate a scheme after considering the circumstances of each individual case.

If such a scheme is approved, the local authority will be expected to meet all emergency expenditure up to the level of an agreed threshold. The Chief Finance Officer will advise on these issues and discuss with colleagues and the lead government department. It is therefore important that an accurate record of all expenditure is maintained.

It must be remembered that the Bellwin Scheme is only relevant to ‘response’ activities and not to work/expenditure relating to the ‘recovery’ stage. The MHCLG issues a guidance note each year, together with threshold information for each authority.

8.3. Disaster Appeal Fund

Experience has shown that within a short time of an emergency occurring there might be a need to set up a Disaster Appeal Fund, to administer donations of money from the public or other sources intended for the relief of the victims of the emergency.

As soon as possible after it becomes apparent that a major emergency has occurred, the Chief Executive will consider whether to recommend that a Disaster Appeal Fund should be established. In consultation with the Head of Paid Service of Norfolk County Council, the Norfolk Community Foundation Disaster Appeal Fund will, if appropriate, be implemented. Whilst this agreement is with Norfolk County Council, the details are such that the facility offered can be utilised by Norwich City Council.

The Norfolk Community Foundation can provide local authorities in Norfolk the expertise on setting up and administering the donations of money, which are likely to be received following a disaster or major emergency. They raise funds, steward funds and make grants to improve life in the community, so are well placed as responders to be the first to initiate action to meet urgent needs during a community crisis.

8.4. **Insurance**

In the event of an emergency or major incident which is likely to give rise to a large number of insurance claims, the Association of British Insurers has a Mobile Disaster Unit on permanent standby, which can be deployed at short notice to the affected area to give advice and assistance.

Section 9 – Staff welfare

9.1. Staff requirements

Emergencies will put enormous demands on all those involved in the response and recovery. Consideration must be given to the physical and psychological welfare of staff. To ensure staff who are involved in the response to an emergency remain effective, the following are key provisions that must be in place:

- Reasonable shift lengths
- Shift rotas
- Refreshments at all locations, to provide warmth or prevent dehydration
- Facilities for taking meals away from the scene
- Washing and changing facilities
- Medical and first aid facilities
- Mental health support

In addition to the physical needs, the psychological requirements of staff are vital, these include:

- Proper briefings
- Honest information about what to expect
- A quiet space to unwind and think
- An opportunity to discuss experiences with someone
- Access to information on sources of help
- Information on what constitutes a “normal reaction”
- Where necessary support for responder’s families
- Debriefing at the end of a day’s activity

9.2. Staff briefing/debriefing

It is recognised that an emergency involving a response from the council has the potential to cause some concern or stress for those responding to the emergency and for those left behind to carry on with their normal duties. Therefore, it is absolutely necessary that staff employed in the response, and their colleagues within the council, are kept fully aware of all that is occurring, so that they can appreciate the needs of the community as a whole in addition to their own needs.

Section 10 – Recovery strategy

10.1. Definition of Recovery

Recovery is defined as:

"The process of rebuilding, restoring and rehabilitating the community following an emergency, but it is more than simply the replacement of what has been destroyed and the rehabilitation of those affected."

"It relates to those activities focussed on returning a community to a "new normality" after an emergency. It will be assisted if the affected community are involved in the managing of their own recovery."

(Emergency Response and Recovery Guidance, HM Government)

Recovery will commence from the time of the emergency and encompasses those activities necessary to provide a rapid return towards a 'new normality' for the community affected by the emergency.

It is of paramount importance that the recovery strategy is implemented and a recovery team established so that the recovery process can commence. This process is to ensure that the community is returned towards normality as soon as is practicable and takes into account issues involving the whole community rather than any one issue in isolation.

Outline information has been included within this plan, however, greater detail and guidance on recovery management is included in the Norfolk Emergency Response Guidance and Norfolk Recovery Guidance.

Recovery is more than simply the replacement of what has been destroyed and the rehabilitation of those affected. It is a complex social and developmental process rather than just a remedial process. The manner in which recovery processes are undertaken is critical to their success. Recovery is best achieved when the affected community is able to exercise a high degree of self-determination.

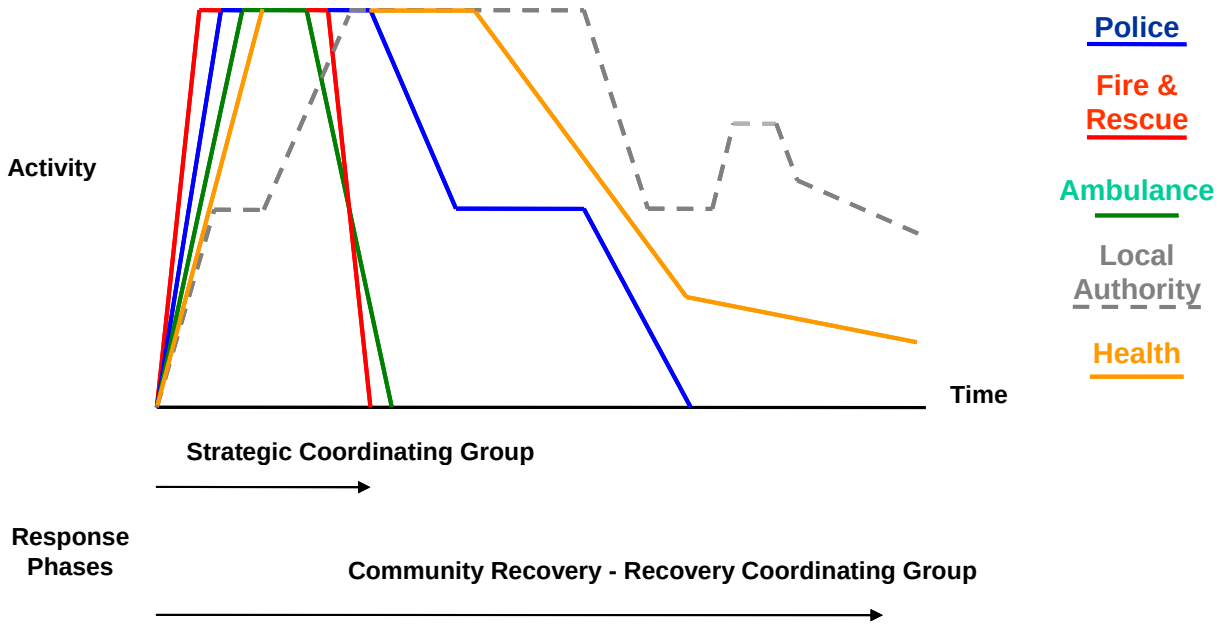
In many scenarios, the response phase to an emergency can be relatively short in contrast to the recovery phase. Recovery usually takes years rather than months to complete as it seeks to address the enduring human, physical, environmental, and economic consequences of emergencies.

10.2. Actions during response phase

The process of recovery cannot be left until after an incident has been dealt with. In order for the most effective return to a 'new normality' it is essential that a recovery strategy is put into place at the earliest opportunity. The graph

below shows the activity of certain category one responders over time in a typical emergency.

The arrows show the relative length of time response and recovery phases may last.



The increase in local authority activity indicated towards the end of the graph represents the sudden resurgence of media and other parties' interest in the recovery often around anniversaries or if public enquiries or legal action takes place.

The recovery phase continues until the disruption has been rectified, demands on services have returned to normal levels, and the needs of those affected (directly or indirectly) have been met. This is achieved through the setting of key milestones to achieve return to the new normality.

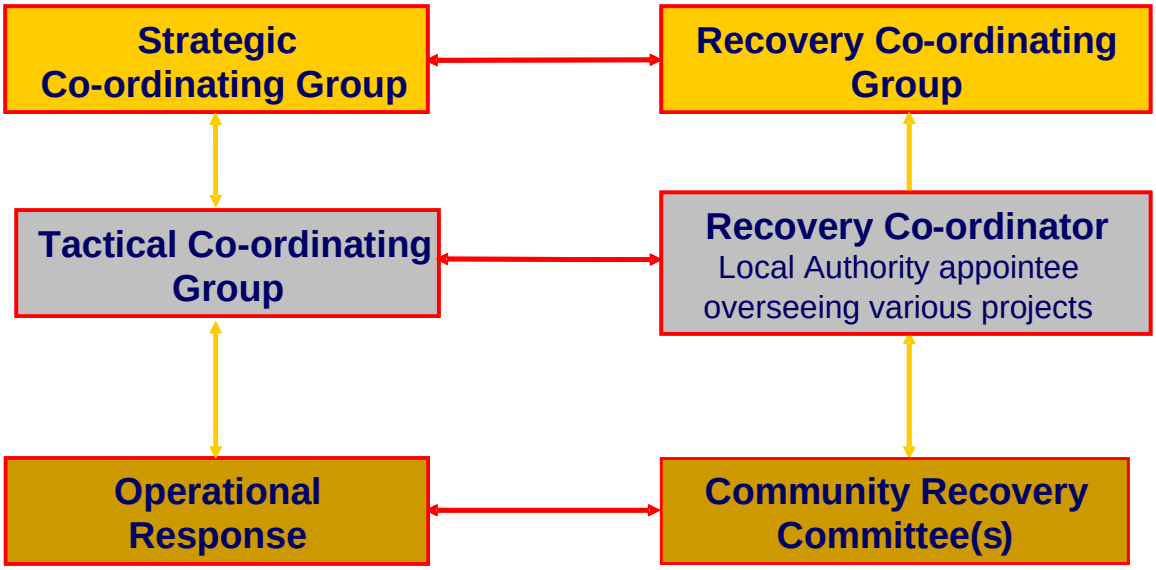
10.3. Principles of recovering from emergencies

- An enabling and supportive process, which allows individuals, families and communities to attain a proper level of function through the provision of information, specialist services and resources.
- Effective recovery requires the establishment of planning and management arrangements, which are accepted and understood by the organisations and the community involved.
- Management arrangements are most effective when they recognise the complex, dynamic and protracted nature of recovery processes and the changing needs of affected individuals, families and groups within the community over time.

- Management is best approached from a community development perspective and is most effective when conducted at the local level with the active participation of the affected community and a strong reliance on local capacities and expertise. It is not just a matter for the statutory agencies - the private sector, voluntary & faith groups and the wider community will play a crucial role.
- Management is most effective when agencies involved in human welfare have a major role in all levels of decision-making which may influence the well-being and recovery of the affected community.
- It is best achieved where the recovery process begins from the moment the emergency begins.
- Planning and management arrangements are most effective where they are supported by training programmes and exercises which ensure that the agencies and groups involved in the recovery process are properly prepared for their role.
- Most effective where recovery management arrangements provide a comprehensive and integrated framework for managing all potential emergencies and where assistance measures are provided in a timely, fair and equitable manner and are sufficiently flexible to respond to a diversity of community needs

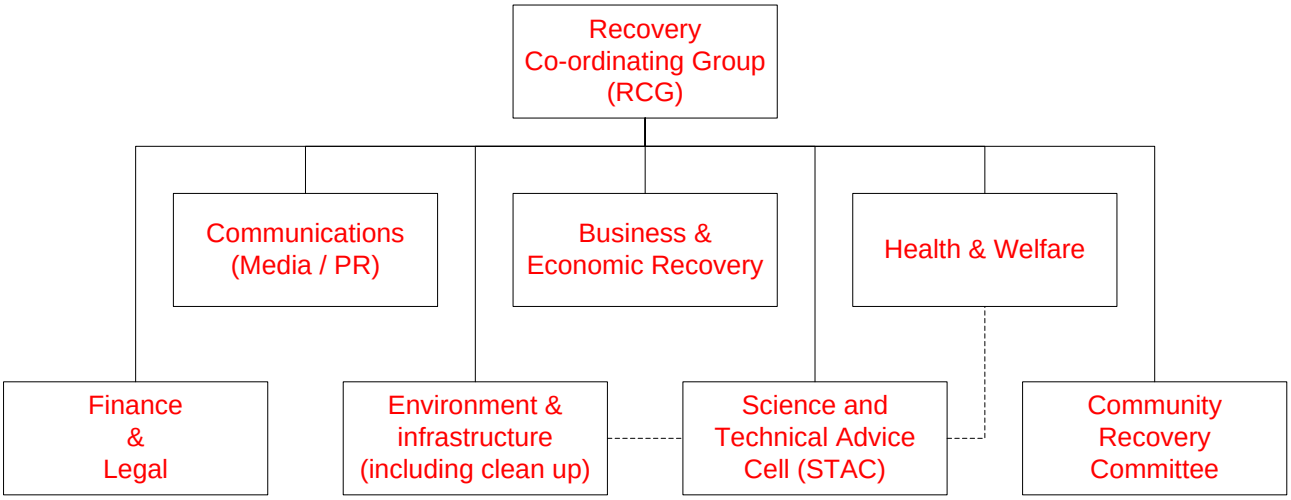
10.4. **Response and recovery structure**

The following diagram shows the link between the response and recovery structures:



10.5. Recovery Co-ordinating Group (RCG)

The establishing of an overall strategic RCG that sets strategy and co-ordinates the work of various sub groups is vitally important and should be an early priority. A suggested structure for managing the recovery at the strategic level is shown below:



CCA ~ Emergency Response and Recovery Guidance.

Note: It may not be necessary to establish all the sub-groups shown, or it may be necessary to add additional groups depending on the nature of the emergency.

RCG and sub-groups terms of reference, membership, sample meeting agenda and the roles and responsibilities of the RCG chair are detailed in the Norfolk Emergency Response Guidance and Recovery Guidance.

10.6. Transfer of ownership from response to recovery

The criteria for assessing when the handover can take place from response to recovery should be agreed by the chair of the SCG and the chair of the RCG (usually the local authority).

Within Norfolk it is accepted that if only one council is involved in an emergency, the Chief Executive of that council will usually be in charge of the local authority response and recovery efforts. It follows therefore that a borough/city/ district or county council Chief Executive (or their nominee) can activate recovery arrangements in Norfolk.

In some cases a gradual hand-over of responsibility from response to recovery may be more effective, e.g. if a number of sites are involved. A handover certificate template is contained with the Norfolk Recovery Guidance.

The following issues must be considered before the transition from response to recovery can occur:

- Public safety measures are in place and working effectively
- The emergency is contained and there is no significant likelihood of re-occurrence
- SCG confirm that the response, or elements of it, is over or coming to an end
- The RCG is firmly established and pro-active
- The requisite facilities needed by the RCG are available and functioning
- Individual organisations are functioning effectively
- Media to be informed to publicise the change from response to recovery
- A documented decision process needs to be in place justifying the reason for handover
- The RCG lead is able to accept the role of chair

The RCG will also need to have the following in place:

- Funding & costing mechanisms
- Record keeping arrangements
- Mutual aid arrangements
- A recovery plan
- A communication strategy
- A fully functioning recovery centre

10.7. **Recovery timelines**

It is not possible to deal with all aspects of recovery at the same instance. A timeframe should be incorporated into the recovery strategy that must encompass key elements of what are required, coupled with targets/milestones.

These targets are a means of measuring progress within the community and the local population should be involved in establishing them. They may assist in deciding when specific activities can be scaled down.

Suggested targets/milestones could include:

- Demands on public services returning to normal levels (including health)
- Utilities fully functional
- Transport infrastructure is running normally
- The situation regarding temporary accommodation has stabilised
- Local businesses are trading normally
- Tourism in the area being re-established
- The public's perception is that the situation is under control

10.8. Stand down of Recovery Co-ordinating Group

The chair of the Recovery Co-ordinating Group, in discussion with the RCG members, will decide when it is appropriate to stand down the Group. The needs of the community will be key to this decision.

The length of time that the RCG is required to continue to meet will vary according to the nature and scale of the emergency. Some emergencies may have long term issues to consider, such as health monitoring. The RCG will stand down once there is no longer a need for regular multi-agency co-ordination and the remaining issues can be dealt with the by individual agencies as a part of their normal business. Depending on the recovery issues being addressed, it may be possible for some of the RCG Sub Groups to close prior to the main RCG standing down.

The decision to stand down the RCG will be communication to all affected agencies by the RCG chair/secretariat.

Section 11 – Training strategy

11.1. CCA requirement

Norwich Council has a statutory responsibility under the CCA to ensure that adequate preparations are in place to deal with a civil emergency. As a Category 1 responder, we are required to have in place a training programme for those directly involved in the invocation of this Emergency Management Strategy.

The council needs to be able to provide a range of responses, these can be categorised as generic (suitable for a range of emergencies) or risk specific (applicable to certain high risk specific plans). Elected members and officers need to be familiar with the generic responses and, where appropriate, the risk specific plans.

The generic responses include:

- Activation procedures
- Command and control arrangements
- Operational response procedures
- Emergency centre operation
- Provision of rest centres/survivor reception centres/humanitarian assistance centres

Risk specific arrangements include:

- Severe weather
- Flooding
- COMAH sites
- Airport
- Fire/explosion
- Social issues
- Human health
- Business continuity

11.2. Training programme

A training programme will ensure that the council meets the requirements of the CCA and is properly equipped to respond to emergencies. Elected members and officers fulfilling specific emergency roles will be identified and training developed for each role. In order that capability can be maintained over time, the programme is designed to be refreshed every three years, this will allow for changes in staff and operational procedures.

Annual updates will draw upon learning points identified from exercises and events, together with best practice from other authorities. Where a real event

occurs this may, if appropriate, replace an exercise requirement. The training programme is delivered using a number of available sources:

- Norfolk Resilience Forum
- Local delivered by emergency planning
- Emergency Planning College, Easingwold
- Other course providers

Emergency planning maintains a record of emergency management training attended by council staff.

Post	Training	Frequency
Elected Members	Emergency management awareness training	??
	Participation in training/exercises	As appropriate
	Media training (cabinet members)	As appropriate
Chief Executive and Executive Directors (SCG representatives)	Strategic Emergency Management	Every ?? years
	Participation in training/exercises	As appropriate
	Media training	As appropriate
	Public inquiry training	Every 5 years
Heads of service (TCG representatives)	Strategic Emergency Management	Every ?? years
	Tactical Emergency Management	Every ?? years
	Participation in training/exercises	As appropriate
	Public inquiry training	As appropriate
Local authority liaison officers (operational)	Operational Emergency Management Training	Every ?? years
	Participation in training/exercises	As appropriate
Rest Centre Managers Emergency Support Staff Loggists	Rest Centre Management	Every ?? years
	Rest Centre Support	Every ?? years
	Participation in training/exercises	As appropriate
	Loggist course	Every ?? years
All local authority staff	Emergency Planning/Business Continuity awareness	Induction/Intranet/ E-learning

Annex

The annex to the Emergency Management Strategy – Emergency Planning Duty Officer Procedures - forms a separate document due to the restricted information contained therein

NORWICH City Council

Item 6

Committee Name: Cabinet

Committee Date: 08/09/2021

Report Title: Response to Transport for Norwich Strategy consultation

Portfolio:	Inclusive and sustainable growth
Report from:	Executive director of development and city services
Wards:	All Wards
OPEN PUBLIC ITEM	

Purpose

Seek Cabinet support for the proposed response to Norfolk County Council's consultation on the draft Transport for Norwich Strategy.

Recommendation:

That Cabinet approves the response to Norfolk County Council's consultation on the Transport for Norwich Strategy contained in appendix 1.

Policy Framework

The Council has three corporate priorities, which are:

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

This report meets all the corporate priorities.

This report addresses clean and sustainable city strategic action in the Corporate Plan

This report helps to meet the climate change and green economy objective of the COVID-19 Recovery Plan

Report Details

1. Norfolk County Council has published the Transport for Norwich Strategy (the Strategy) in draft for consultation. The consultation commenced on 26th August and will end on 8th October. The document is available to inspect here. The Strategy replaces the Norwich Area Transportation Strategy, which expires in 2021. Appendix 1 to this report contains the City Council's response to the consultation. The response is informed by the City Council's response to the Local Transport Plan for Norfolk, which was agreed by Cabinet on 16 December 2020 and Cllr Stonard's response to public questions on the Norwich Western Link (NWL) at Cabinet on 20 January 2021, which is reproduced in appendix 2.

2. Whilst the production of the Strategy is not a statutory requirement it will be a significant document guiding operational decisions of the highways authority and infrastructure development proposals. The adopted strategy may be taken into account in making some decisions for which the City Council have responsibility. Its content may be considered material to planning decisions for instance.

3. The County intend to adopt the Strategy in December 2021 following the consideration of responses to the consultation and a discussion at the Transport for Norwich Joint Committee, on which the City Council has two political representatives. It is understood that the aim is to have an initial version of the action plan produced by the time the Strategy is adopted.

4. It will remain open to the City Council to consider whether or not to formally endorse or support the adopted strategy following its adoption by the County Council and depending on the extent to which the comments made in the consultation response are addressed.

5. The key points in the draft response are that the City Council:
   - Welcomes the production of the strategy and especially the recognition that reducing the climate impact of transport is the top priority, the commitment to set a carbon budget that must not be exceeded and to consider strong measures such as a workplace parking levy and congestion charging.
   - Looks forward to seeing more detail about how the policies will be implemented in the forthcoming action plan, which is urgently needed to provide detail on resources and timescales.
   - Calls for more information to be gathered and published about the performance of the transport system, such as the proportion of journeys made in different ways, so effective actions are selected and their effectiveness monitored.
   - Wants more radical and progressive policies:
     - promoting the affordability of transport;
     - spending more on supporting active travel and public transport relative to new road schemes;
     - recognising that building new roads fuels traffic growth;
     - spending more on helping people to get around Norwich relative to the money spend on getting people to and from Norwich;
     - making 20mph the default speed limit across Norwich;

    - using new legal mechanisms to make buses more affordable, reliable and less polluting;
    - co-ordinating planning and transport policies more effectively, such as through a strong commitment to implementing a network of mobility hubs throughout the city and its growth areas that are a focus for new building;
    - accelerating the installation of charging infrastructure for electric vehicles;
    - recognising the need for transport schemes to protect and enhance biodiversity;
    - making new streets more beautiful and healthy by planting trees; and
    - maintaining existing streets better by looking after trees, paving and cycling infrastructure rather than building new roads that then need to be maintained.
- Is not currently able to support the NWL because the draft Strategy appears not to meet the tests explained in January 2021 (see appendix 2).
- Should have a stronger voice in transport decisions.

Implications

Financial and Resources

5. There are no direct financial consequences of making the proposed response. However, there are potentially considerable financial consequences depending on the content of the final strategy and how it is implemented. In particular it should be noted that the proposed response to County accepts the need to review parking policy and charges in line with the commitment made in our response to the Local Transport Plan in December 2020.

Legal

6. There are no legal implications for the City Council from agreeing this response to the County's transport consultation and the statutory responsibility lies with the County Council because it will be their transport strategy.

Statutory Considerations and Risk Management

7. As the Strategy will be adopted by the County Council rather than the City the duty to ensure statutory considerations and management risks lies with them. It should be noted that the County Council have prepared a Sustainability Appraisal/Strategic Environmental Assessment of the Strategy and this should demonstrate how a number of statutory considerations have been taken in to account in the preparation of the document. This is available here. The degree to which the Strategy has responded to statutory considerations is also addressed in the proposed consultation response.

8. Similarly the risks associated with production of the Strategy are matters for the County Council to consider rather than the City.

Other Options Considered

9. There is no statutory requirement for the City Council to respond to the consultation so it would be possible for the City Council to issue no response or a different one to that contained in the appendix.

Reasons for the decision/recommendation

10. Cabinet is being recommended to approve the response to the consultation on the Transport for Norwich Strategy so the City Council can influence the final version of the Strategy and through that the policy that is applied to transport in Norwich.

Background papers: None

Appendices:

Contact Officer:

Name: Ben Webster

Telephone number: 01603 989621

Email address: benwebster@norwich.gov.uk

Appendix 1

Transport for Norwich Strategy consultation

Norwich City Council response

DRAFT

1.0 Introduction

1.1 Norfolk County Council has published a draft of the Transport for Norwich Strategy (the Strategy) for consultation. The consultation document can be found on the County's website here. This document contains our response to the consultation and is structured to follow the order of the Strategy. Numbered references within the text of this response refer to paragraph numbers within the Strategy.

1.2 On 16 December 2020 the City Council's cabinet approved a consultation response to the draft Local Transport Plan (LTP) for Norfolk. That response was produced to inform not only the LTP but other transport policy documents such as the Strategy. This response evaluates the degree to which the Strategy satisfies the principles and interventions that we advocated in our response to the LTP.

2.0 General comments

2.1 Having a current transport strategy of a city of Norwich's importance is essential. The current Norwich Area Transportation Strategy (NATS) has almost expired and is rarely referred to. Although the work to produce a new strategy was overdue we are impressed by the energetic commitment of the County over the last few months to produce a strategy and to involve City Council officers in the process.

2.2 NATS contained a very large number of policies that meant the main messages and policy priorities were obscured. By contrast the brevity of the Strategy give the potential for it to have more clarity and impact.

2.3 The speed with which the draft Strategy has been produced and the lack of preparatory work before this year has meant that most of the detail around how the high-level policies will be implemented has been left to an action plan. The TfN Strategy contains lists of important "key actions" and "supporting actions". It would be helpful to understand the relationship between these and the action plan and whether "key actions" are deemed to be more important than "supporting actions".

2.4 In the light of the above it is considered important that the Strategy is amended to clearly set out information explaining when these actions will be done, by whom and with what resources is included as an appendix to the Strategy prior to its adoption. Some of this may not be known and the appendix can be updated to reflect the work that takes place following

the adoption of the Strategy. The Strategy should contain a commitment to regularly reviewing the action plan and Strategy itself.

2.5 Although most of the policies lack specific quantitative commitments and we need to wait for the action plan to see these, it would be helpful to see more data on the current performance of the transport networks that will form a baseline. If this is not possible to include within the Strategy prior to its adoption a clear commitment should be given to producing baseline information on performance of the transport network and updating this on a regular basis. An example of critical information that is not currently available is the split between different modes of transport in the Strategy area. Without this it will not be possible to know whether Norwich is meeting the government's expectation in "Gear Change" (2020) that half of all journeys are walked or cycled by 2030 or the degree to which measures to boost bus use are taking cars off the road.

2.6 The Strategy contains a strong policy commitment to walking, cycling and public transport. This is very welcome but it risks being rhetoric if it is not backed up with clear funding commitments.

2.7 The geography of where policies and scheme interventions will be applied is currently missing and the key diagram mentioned in 12.9 and 12.10, which will include network and schemes in the final version of the Local Cycling and Walking Infrastructure Plan that was recently consulted on, will be an important component of the Strategy.

3.0 Chapter 1 - Background

3.1 The section on current progress and achievements (1.19) lists an impressive range of activities that have improved the transport system over the last decade. The role of the City Council is acknowledged in relation to public realm improvements in Westlegate and Tombland. In fact, the City Council were instrumental in many of these achievements due to the highways agency agreement with the County that worked well until it was terminated in March 2020.

3.2 No comments are proposed on Chapter 2 – Policy Context.

4.0 Chapter 3 – Problems, issues and opportunities

4.1 No detailed comments are offered on this chapter. However, the recognition that climate change and the achievement of net zero carbon targets is our main challenge (3.2) in the transport sphere is very welcome.

5.0 Chapter 4 - Vision and themes

5.1 The vision statement is supported because it succinctly expresses the characteristics of an environmentally progressive transport system and their contribution to human thriving. It reflects the concept of the 15

minute city, pioneered in Paris, where the essential ingredients of a fulfilling life are available within a 15 minute walk of peoples' homes. The only deficiency is a lack of reference to the need for transport to be "affordable", which is important for fairness and equity. This change would be consistent with the content of the "overcoming barriers" section in chapter 10.

5.2 The themes are described in this section as future scenarios whereas in the executive summary they explain the scope of the relevant chapters. This is confusing. The future scenarios either need to be fuller and more clearly related to the policies or should replicate the content of the executive summary. Making explicitly clear in the text that what is described under these themes is not a description of current circumstances, but is a description of the future circumstances that are aimed for is necessary. It would help considerably if some time horizon could be given for the achievement of these.

6.0 Chapter 5 - Norwich and Norfolk

6.1 Strategic connections to other parts of the region and the country are important. However, the resources currently devoted to moving people between Norwich and other places more quickly and reliable is disproportionate to its importance and deprives the city of resources to help people move around the city and its strategic growth area.

6.2 The Strategy says that **"**Sustainable transport measures will be promoted to capture the benefits of these connections within the Norwich urban area" (5.9). The Strategy does not provide any evidence that demonstrates how the construction of these schemes will facilitate large scale sustainable transport improvement within Norwich, such as the ability to reallocate road space on radial routes or downgrade sections of ring road to reduce severance and assist regeneration. There is a supporting action that relates to this: "Carry out a strategic assessment to evidence the opportunities to deliver enhanced sustainable transport interventions as a consequence of completing the committed Transforming Cities interventions (a major package of improvements focused on public transport, walking and cycling) and the Norwich Western Link (NWL)." (5.11). It is not clear what this means or when it will happen in relation to the submission of the development consent order for the NWL and clarification is needed.

6.3 It would be helpful if the Strategy recognised that building and enlarging roads fuels the growth of motorised traffic and car-based patterns of development and that this leads to calls for more roads to be built to ease the pressure and congestion caused by the earlier road schemes, as seen in places such as Costessey and Ringland in relation to the Broadland Northway and NWL. This is an endless process that needs to be stopped and we seek a commitment in the Strategy not to begin the development of any more major road infrastructure schemes.

7.0 Chapter 6 – A zero carbon future

7.1 Climate change is an existential threat to humanity and transport contributes over half the carbon emissions in some parts of the area covered by the Strategy. No other public policy or transport objective is more important in achieving a zero carbon future or jeopardizing its achievement.

7.2 The net zero carbon policy in the strategy is very welcome. However, it needs to be translated into actions and currently the Strategy is lacking in specific commitment to the projects needed to make this happen. Much will rest on the work to follow through the action plan. In the meantime, the bulk of current planned spending on transport in this area is committed to major road building schemes that will induce further traffic. The Strategy does not therefore provide the evidence that would demonstrate that these schemes are compatible with the policy in the Strategy that echoes the imminent legal requirement that carbon emissions must be 78% lower by 2035 than 1990. Attached to this response in appendix 2 is the detail of response given by the portfolio holder for sustainable and inclusive growth about the NWL. At present the Strategy appears to fall short of meeting the tests set out.

7.3 There is a need to commit resources to developing a programme of ambitious schemes that will make it easier for people to walk, cycle and use public transport. The Norwich Local Cycling and Walking Infrastructure Plan and Bus Service Improvement Plan will provide lists of schemes for development. In the past, sustainable transport schemes have been hurriedly developed in response to government announcements inviting councils to bid for competitive funding at short notice. In contrast, the County has normally devoted most of its discretionary resources for scheme development to the design of new roads which it then presents to government for major scheme funding. The TfN Strategy needs to change this practice and commit to develop packages of sustainable transport schemes over a sensible period of gestation and present these for major scheme funding instead. The Strategy should introduce a commitment to monitor and report on the proportion of County Council resource directed to delivering sustainable transport measures.

8.0 Chapter 7 - Improving the quality of our air

8.1 We welcome the clear recognition in the Strategy that removing the toxins produced by burning fossil fuels in vehicles is needed to reduce harm to human health. The acknowledgement that firm regulatory measures are needed to tackle this (7.6) and that these could have collateral benefits for other transport policy objectives is also very welcome. A reference to enforcing engine switch off rules would be a useful addition in 7.8.

8.2 It would also be helpful if this section of the Strategy provided more information about what the regulatory tools are and their potential benefits and drawbacks. It would also be useful to set the broad criteria that would be used to select which is most effective. For example, it will be important to ensure that any workplace parking levy is introduced over a wide area so businesses do not relocate to the edge of the city and outcome that would be counterproductive by damaging the city centre and generating polluting traffic movements. A key criterion would be the ability to generate funds that can be invested in sustainable transport, thereby creating a virtuous cycle and providing more financial autonomy.

8.3 Norwich appears to be lagging behind many other cities in the provision of charging infrastructure for electric vehicles. The government's decision to ban the sale of fossil fuel powered cars from 2030 makes it more urgent to provide more infrastructure. We will contribute to the electric vehicle strategy mentioned in 7.9 and have submitted an application for community infrastructure levy funding to install more charge points in City Council car parks.

8.4 The lungs of children are especially vulnerable to the effects of air pollution so the commitment in 7.9 to investigate concerns around air quality outside schools, monitor the air and introduce school streets is very welcome.

8.5 One a matter of factual accuracy the City Council, which is responsible for monitoring air quality, does not have the evidence to prove that high levels of nitrogen dioxide and particulate matter have been identified along the primary routes into the city (7.3). This is because particulate pollution is only measured in Castle Meadow and Lakenfield, neither site is on a primary route into the city and neither has exceeded national objective levels.

9.0 Chapter 8 - Changing attitudes and behaviours

9.1 The content of chapter 8 is supported.

10.0 Chapter 9 - Supporting growth areas

10.1 The need to co-ordinate the planning of new development with transport is rightly recognized in 9.2. The current mechanisms to achieve this need to be strengthened by producing unified spatial policies that integrate planning and transport. We would like to see an action in the Strategy to explore the possibility of achieving this though a combination of design coding and amalgamating the next iterations of the Greater Norwich Local Plan and Transport for Norwich Strategy into a single document.

10.2 The Transforming Cities Fund progamme and Local Cycling and Walking Infrastructure Plan have embraced the concept of mobility hubs. Mobility hubs are places where shared and clean mobility services are brought

together in places where shops, services and higher density development are concentrated. The County will be seeking accredited status from the organization CoMoUK for the hubs it is creating. It is therefore odd that mobility hubs only receive a cursory mention in the introduction to chapter 12 and are not mentioned in chapter 9. There should be a clear policy commitment in the Strategy to build a comprehensive network of mobility hubs and include them on the key diagram referred to in 12.9. The word mobility hub should be used rather than transport hub in 9.8 to avoid confusion.

11.0 Chapter 10 - Meeting local needs

11.1 The section on road traffic harm reduction notes that progress on reducing casualties arising from road traffic accidents has stalled and that people continue to find road conditions too intimidating to walk and cycle. It is therefore welcome to see a commitment to continue the work to extend 20mph limits to residential neighbourhoods that do not currently benefit from these. However, this will leave places such as high streets and shopping parades that are at the heart of community life and where we want people to walk and cycle comfortably and safely outside 20mph areas. We therefore advocate that the policy should be changed to say that “20mph will be adopted as the default speed limit across the whole urban area with higher limits only on streets that have a strategic traffic function and do not have a strong residential and local service function. Where the street design does not currently support adherence to 20mph, engineering and enforcement measures will be implemented to achieve compliance.”

11.2 The cost of bus travel is a significant factor that discourages people from taking the bus, as mentioned in 12.11. Free bus passes for older people show how people can be encouraged not to drive through the availability of subsidised travel. We would like the Bus Improvement Plan and Enhanced Partnership to consider how the cost of bus travel of other groups can be reduced and for the supporting action under 12.4 to be reworded to: “consider social needs in relation to bus services, including the cost of travel”.

12.0 Chapter 11 - Reducing the dominance of traffic

12.1 The recognition that we have beautiful and sensitive historic buildings, streets, landscapes and ecology that can be harmed by transport interventions is very valuable. The policy says that we will “seek to” enhance these assets. This could be met by seeking to do something but failing. The policy should therefore be changed to read: “Transport regulation, capital projects and maintenance activities can profoundly affect our valuable heritage, landscape and ecological assets. Such transport activities will conserve and enhance these assets and achieve biodiversity net gain as required by environmental legislation.”

12.2 The policy committing to work on neighbourhood-based activities to reduce the impact of unnecessary traffic is very welcome. Defining the neighbourhoods will be key and in traffic terms there is a danger that neighbourhoods will be defined as a cell surrounded by busier and more strategically important roads, whereas high streets with considerable amounts of traffic are often the focal point for neighbourhoods. These too should have traffic dominance reduced.

12.3 The government recently amended the National Planning Policy Framework to include a requirement that trees should be planted in new developments. A new paragraph 131 was introduced that reads: “Trees make an important contribution to the character and quality of urban environments, and can also help mitigate and adapt to climate change. Planning policies and decisions should ensure that new streets are tree-lined, that opportunities are taken to incorporate trees elsewhere in developments (such as parks and community orchards), that appropriate measures are in place to secure the long-term maintenance of newly-planted trees, and that existing trees are retained wherever possible. Applicants and local planning authorities should work with highways officers and tree officers to ensure that the right trees are planted in the right places, and solutions are found that are compatible with highways standards and the needs of different users.”

12.4 It is currently very difficult to get the County to adopt streets with trees in them as highway and it expects district councils to own and maintain the trees even though district councils are not the highway authority and the County are responsible for other street trees. This needs to change. We seek a policy in the Strategy that is consistent with government policy that leads to the County taking a positive approach to the inclusion of street trees in schemes.

13.0 Chapter 12 - Making the transport system work as one

13.1 The importance of looking at traffic capacity in terms of the number of people who can use sections of the network rather than vehicles has important and positive implications for the design of schemes that will lead to the prioritization of buses, bikes and pedestrians which use space efficiently. To be clear and consistent we would like the word “just” to be removed from the road network and travel mode hierarchy policy and for the introductory point on the first page of the chapter to read “This particularly supports prioritising bus travel, cycling and walking rather than car traffic”.

13.2 The reference in this section to the development of a travel mode hierarchy is welcome and complementary to the new approach to traffic capacity. However, by comparison with the detailed proposal for a modal hierarchy in our LTP response the draft policy in the Strategy is vague. We would like it to be changed to read: “We will adopt a road network and travel mode hierarchy that a) prioritises the mobility requirements of modes that use least energy, produce least pollution and promote most healthy activity; b) understands that the movement of people rather than

vehicles matters in evaluating congestion and traffic capacity; and c) recognises the place function as well as the movement function of different parts of the network."

13.3 The section on bus services is vague. The reason for this may be that County, like all local transport authorities, is required by government to produce a Bus Improvement Plan by the end of October and have an enhanced partnership in place by June 2022. The reliability, coverage, pollution and affordability of bus services need to be improved through these mechanisms and if this does not prove effective the County should explore whether to seek bus franchising powers. Key commitments in the Bus Improvement Plan should be reflected in the final version of the Strategy.

13.4 This section contains a commitment to review off-street and on-street parking. This is a City Council function and our LTP response acknowledged the importance of this issue. We are happy to play our part in implementing this action following the adoption of the strategy.

13.5 The content of the active travel section is welcomed. However, the commitment to "promote" it in the policy and "prioritise" it in the key action needs need to be translated into the expenditure of time and money to avoid it being rhetoric. Given the government's recognition that active travel scheme generally offer high value for money when built to the appropriate standard we therefore request that the policy is altered to read "We will prioritise active travel by walking and cycling in the allocation of resources by spending more capital on schemes that promote these modes of transport than on building new roads. Active travel schemes will be designed to conform to the standards in Local Transport Note 01/20 on cycling infrastructure design and the Healthy Streets checklist. The condition of cycling and walking infrastructure will be maintained to the highest standard possible on the active travel networks and zones recognized in the Norwich Cycling and Walking Infrastructure Plan".

13.6 Maintenance of active travel infrastructure is important. At the moment parts of the pedalway network are becoming overgrown, paving is being replaced with patches of asphalt, cycle wayfinding is being left pointing in the wrong direction, segregation devices are not replaced after being struck by vehicles and cycle lanes and symbols are not repainted frequently enough. This is happening because the budgets for this maintenance activity are too small and the recognition of active travel networks are not give the same weight in maintenance procedures as the road network hierarchy. At the same time money that could have been spent on this maintenance is used to resurface new pieces of infrastructure such as the Broadland Northway. The County is proposing to build the Norwich Western Link that will create a liability to maintain nearly four more miles of dual carriageway and a viaduct at the same time as it is failing to maintain existing active travel infrastructure and is unwilling see new trees planted within the highway or new seats installed because it claims it cannot afford to pay for them. It is therefore welcome that the Strategy says "In accordance with our new Local Transport Plan policy, we will prioritise maintenance of those parts of the network used by people

walking and cycling. This will mean that the condition of cycle lanes and pavements on the most well-used routes is at the highest standard possible." This aspect of our approach is so important that it should be elevated to the status of policy and linked to the LCWIP as mentioned above.

13.7 The County's commitment to the retention of the post-pandemic recovery measures such as those implemented in Exchange Street and St Benedicts Street are welcome. It shows a new recognition that streets are spaces for socializing, living and commerce as much as conduits for movement. This is also reflected in the Places policy in chapter 11 and the Road Network and Travel Hierarchy in chapter 12.

14.0 Chapter 13 - Making it happen

14.1 The current political governance arrangements are relatively recent creations following the ending of the highways agency agreement. The termination of the agreement not only dissolved a committee that had an equal County / City voting arrangement (albeit with the County having the casting vote) but teams at the City Council were disbanded and the personnel either left local government or transferred to County. This was a destructive and unnecessary act. We welcome the review of governance arrangements and will be seeking to ensure that the voice of Norwich City Council and its elected representatives is more powerfully heard in decisions affecting transport in the city.

14.2 The list of stakeholders at the start of chapter 13 needs to include other non-commercial interests such Norwich Cycling Campaign, Norwich Society and Norwich Access Group and Vision Norfolk.

14.3 More emphasis needs to be given in the strategy to raising locally determined revenue is and this needs to be mentioned in the context of regulatory tools such as a workplace parking levy, congestion charge or clean air zone. The system is too centralised at the moment with councils responding to challenge funds announced by the Department for Transport.

Appendix 2 - Answer given by Cllr Stonard to multiple public questions on the Norwich Western Link at Norwich City Council Cabinet meeting of 20 January 2021

Thank you for the multiple questions about the city council's position on the proposed Norwich Western Link (NWL).

Clearly the Western Link scheme is a very major and controversial proposal and, if built, it will have significant implications for Norfolk's carbon emissions, its environment, traffic conditions across the city and economic activity in the north of the city. However, it should be remembered that the scheme proposed is entirely outside our administrative area and that the city council is not a transport authority. Therefore, we are not part of the decision making process on the NWL, which is entirely a county council matter.

The city council has always been consistent that any support for the scheme would be dependent on it being satisfied that certain conditions were fulfilled. This is consistent with the content of the emerging Greater Norwich Local Plan that is on the agenda for consideration at this meeting.
In particular, we have demanded that the NWL needs to be set in the context of a clear and environmentally progressive strategy for the development of transport in Norwich.

This strategy needs to be the foundation for a clearly defined and comprehensive set of schemes with funding attached which would demonstrate that, when viewed as a package, public transport, cycling and walking would be prioritised and promoted over the use of the private car. In particular, evidence of the decongestion benefits of the NWL in the city was sought as the basis for some of these measures to promote modal shift and road space reallocation.

Since the city council expressed conditional support for the strategic outline business case, almost no progress has been made on the Transport for Norwich Strategy, and the Local Cycling and Walking Infrastructure Plan has not been published for consultation. The award of £32m for the Transforming Cities Fund project last year was welcome but a far smaller award than the original high value package that would have been comparable in value to the estimated £153m cost of the NWL. We have as yet received no evidence that traffic levels in the city's streets will be eased in a way that would improve air quality or enable modal shift or road space reallocation as a result of the construction of the NWL.

In December, cabinet approved a detailed and considered response to the draft Local Transport Plan. At the time of writing this answer, we have not received an acknowledgement or a response to that submission, which was sent on 17 December. The response explained the types of principles and interventions that we would like to see implemented to improve transport in the city.

The city council's response to the Local Transport Plan sets out our bold and radical vision for transport in Norwich. It was drafted in the context of the Council's 2040 City Vision, the Covid-19 Recovery Plan and the Norwich City Centre Public Spaces Plan. It sets out thirteen policy principles, the very first of which is to respect climate limits. It supports the county's carbon neutrality

target of 2030 and proposes tough carbon reduction targets for transport, supported by an immediate and radical reduction in emissions. It demands that the Local Transport Plan should set a carbon budget for transport in Norfolk and Greater Norwich, supported by strong policies to contain emissions within that budget.

The second principle of the city council's bold vision for transport is that health and wellbeing and fairness must be at the centre of transport policy. Access to transport directly impacts life chances but it is the poorest in society who tend to live beside busy roads or in polluted city centres, with a consequent impact on life expectancy and general health and wellbeing, so transport must be clean and transport policy must promote social justice by reducing inequalities and promoting fairness.

The third policy principle is that non-car access from homes to places where people work, learn, shop and are entertained must be affordable. This will requires an approach to land use and transport planning which creates compact mixed-use clusters and directs development and calibrates density towards them.

The city council's fourth principle is to prioritise the different modes of transport on the basis of efficient energy and space use. We need to continue to induce demand for more sustainable travel behaviour by designing Norwich around the needs of pedestrians, cyclists and buses. We propose the prioritisation of different modes of transport according to a hierarchy which is based on their energy efficiency, with walking and cycling at the very top.

There are a further nine policy principles for transportation in Norwich, which are freely available to peruse. They cover vital issues such as the equality impact of transport policy and design; the need to actively manage the delivery of goods, which has increased dramatically as a consequence of the rise of online shopping; the use of technology to support our goals; and the generation of revenue to invest in sustainable transport and to make us less reliant on central government grants.

Our ambitious transport vision also makes radical proposals of interventions for delivery, including a workplace parking levy; a gradual reduction in the space available for fossil fuel vehicles to park; the allocation of spaces for autonomous vehicles; the reallocation of road space and time from cars to more sustainable modes; measures to free the city centre and neighbourhoods from polluting vehicles; a reduction in traffic levels in the vicinity of schools; the setting of 20 mph as the default speed limit across Norwich; and the creation of Mobility Hubs, which would facilitate smooth transfers between shared and clean modes of transport and to ensure people can be confident that there are hubs places in the city where they can access and smoothly switch between buses, trains, car club vehicles and hire bikes.

All of these ambitious and radical policies and measures would transform the city into a safer, cleaner, more sustainable and more equitable place. This is now the city council's main focus for influencing the county council on transport matters.

But, this vision must be seen in the context of the city council's diminished influence on the development and implementation of transport policy and projects in and around the city. This reduced role is a direct consequence of the county council's unilateral decision to terminate the Highways Agency Agreement. Therefore, the city council can propose ambitious and radical policies and measures, but we no longer have any role in the decision-making and implementation process.

In terms of the Western Link, the termination of the Highways Agency Agreement and the diminution of the city council's role in transport matters has combined with a lack of progress on the part of the county council in developing a new transport strategy. This slowness has served to undermine our confidence that the county is serious about providing sufficient complementary measures to satisfy our conditions for supporting the project. As I say, the termination of the Highways Agency Agreement means the city council does not have a formal role in this process; a role which would have helped ensure confidence that such complementary transport policies and schemes in the city were being planned, funded and implemented in a timely way and as agreed.

However, our final position will await the outcome of work that is being undertaken to prepare for the submission of the planning application for the NWL and the adoption of the Transport for Norwich Strategy. On a decision as important as this it is only right that we wait until we are in full possession of all the relevant information.

In order for the city council to consider supporting the proposal we will need to see clear and convincing evidence of the NWL being a critical part of an environmentally progressive and deliverable transport strategy for the city delivering:

- considerable air quality and decongestion benefits in the city;
- a comprehensive investment package in public transport, cycling and walking that is commensurate with the investment being considered for the NWL capable of delivering against carbon reduction targets in the Paris agreement or any successor agreements;
- the completion of complementary schemes before the NWL is completed;
- a political mechanism to ensure that the governance is in place to ensure that these commitments are implemented; and
- evidence that the wildlife and landscape impacts of the scheme can be satisfactorily mitigated.

We are an evidence based council, which has consistently requested both the evidence and the answers to our questions before a decision of support could be considered. This evidence has not been forthcoming and we can only surmise why. However, meanwhile, the actions of the Tory-run county council have removed from the city any meaningful power in decision making on city transport and highways matters through the removal of the Highways Agency Agreement. But, we have not waited idly for the county council to respond.

Instead, our alternative is clear. We have produced a Norwich transport plan that is bold, radical, evidence based and decisive. If implemented, it would give our city a better future in making practical real life improvements to people's day to day transport needs while safeguarding our precious environment.

So, our message is simple, but I'll repeat it again for those who have chosen not to listen. If the Tories at county want us to change they'll need to answer the questions, provide the evidence, reinstate the Highways Agency, or something very much like it, deliver on our bold transport plan and give us a meaningful say in transport and highways matters in the city. Until then, just as before, we cannot consider support.

NORWICH City Council

Item 8

Committee Name: Cabinet

Committee Date: 08/09/2021

Report Title: Transfer of assets from the General Fund to the Housing Revenue Account

Portfolio:	Cllr Matthew Packer (Health and wellbeing) & Cllr Gail Harris (Housing)
Report from:	Executive director of community services
Wards:	**Catton Grove, Lakenham, Crome and Mile Cross**
OPEN PUBLIC ITEM	

Purpose

To transfer five General Fund assets to the HRA where they are deemed Housing assets within council owned estates.

Recommendation:

Permission is granted to move assets and their associated costs into the HRA from 2021/22 onwards

Policy Framework

The Council has three corporate priorities, which are:

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

This report meets the Great Neighbourhoods, housing and environment, People living well and Inclusive economy corporate priorities

Report Details

1. Norwich City Council owns 15 assets considered as Community Centres. These buildings were largely constructed in areas where council housing stock was developed between the 1950s and 1980s with the aim to provide local community activity and support for surrounding tenants. They remain usually on HRA owned land.

2. In 2016 the council-initiated a footfall survey and social value reports for community centres to evidence the impact in the local area of their operations. Footfall surveys are used to evidence where people are travelling from to access centre activities and how many users are from the local area. This enables us to understand how far these centres are supporting the surrounding HRA estates. The annex provides further information on footfall data and housing locations.

3. Using this information we have identified five of these buildings which are more suitably categorized as Housing rather than General Fund assets. This is due to them being built on Housing land with the initial purpose to serve those communities and where we can evidence this remains the case. These centres are:

    a. Catton Grove Community Centre
    b. Jubilee Community Centre
    c. Greenfields Community Centre
    d. Frere Road Community Centre
    e. Pilling Park Community Centre

4. It is recommended that these properties and associated maintenance and capital costs are transferred into the HRA.

Consultation

5. As there is no fundamental change to the status of the licensees or use of the building for the public, no public or councillor consultation has been undertaken. Finance and Housing have been consulted.

Implications

Financial and Resources

6. There is a neutral cost to the council of this recommendation.

7. There will be a decrease in General Fund costs and a matched increase in HRA costs.

8. Based on average costs from the past seven years, the repairs and maintenance costs to the centres are approximately per annum:

Centre	Annual average maintenance cost
Catton Grove Community Centre	£7,880
Jubilee Community Centre	£13,620
Greenfields Community Centre	£8,460
Frere Road Community Centre	£7,870
Pilling Park Community Centre	£7,630
Total	**£45,460**

9. The asset value and subsequent deprecation will transfer from the GF to HRA. Current asset values of the properties are:

Centre	Building asset value	Land asset value	Total
Catton Grove Community Centre	£72,196	£26,010	**£98,206**
Jubilee Community Centre	£39,299	£18,870	**£58,169**
Greenfields Community Centre	£51,044	£24,990	**£76,034**
Frere Road Community Centre	£40,671	£17,340	**£58,011**
Pilling Park Community Centre	£55,497	£22,440	**£77,937**
Total	**£258,706**	**£109,650**	**£368,356**

10. The transfer of asset value between the General Fund and HRA will be reflected by an adjustment to the respective CFRs (Capital Financing Requirement). This will reduce the GF CFR by £368,356 with a corresponding increase to the HRA CFR.

11. The adjustment to the CFR will generate an adjustment to the associated annual revenue interest charges, with an anticipated reduction in costs to the GF of £8,389 and corresponding increase to the HRA (based on 2020/21 charges) as set out in the table below:

Centre	Annual interest charge
Catton Grove Community Centre	£2,236
Jubilee Community Centre	£1,325
Greenfields Community Centre	£1,732
Frere Road Community Centre	£1,321
Pilling Park Community Centre	£1,775
Total	**£8,389**

12. Catton Grove currently has a capital budget spend of £9,000 expected in 2021/22 for upgrading the building's electrical system and EPC works. All other buildings have an EPC rating of E which is suitable for current legislation and have no expected significant capital works forthcoming

13. As these buildings are all on a peppercorn rolling licence agreement there is no transfer or loss of income. It is planned to move all community centres to robust licences in 2022/23 but there is no financial implication to this.

14. There will be no change in the NPSN management of the buildings (subject to the service coming in-house 2022/23).

15. There will be no change to the support given to licensees by council officers which currently offer this support now in order not to increase work for housing officers. This will be recharged proportionately.

Legal

16. The transfer is permitted by section 122(1) of the Local Government Act 1972. This states that councils 'may appropriate for any purpose for which the council are authorised by this or any other enactment to acquire land by agreement any land which belongs to the council and is no longer required for the purpose for which it is held immediately before the appropriation' but subject to the rights of other persons in or over the land.

17. Further, section 19(1) of the Housing Act 1985 specifically deals with the provision of housing accommodation – 'a local housing authority may appropriate for the purposes of this Part any land for the time being vested in them or at their disposal; and the authority have the same powers in relation to land so appropriated as they have in relation to land acquired by them for the purposes of this Part'.

18. Section 19(1) of the Housing Act does not however apply to properties which are already used partly or wholly for housing, including yards, gardens or outhouses. If this is the case, the consent of the Secretary of State to the disposal will be required.

19. Change of land and asset ownership will be required on the fixed asset register.

Statutory Considerations

Consideration:	**Details of any implications and proposed measures to address:**
Equality and Diversity	As there is no change to the function of the assets or risk to service delivery, there is no implication under Equality and Diversity.
Health, Social and Economic Impact	There is no anticipated impact.
Crime and Disorder	There is no anticipated impact.
Children and Adults Safeguarding	There is no anticipated impact.
Environmental Impact	There is no anticipated impact.

Risk Management

Risk	**Consequence**	**Controls Required**

HRA funding is not available to maintain the buildings	Should there be competing demands on the HRA capital or revenue programmes, the assets may fall into disrepair or become unusable.	Ensure with Finance that all appropriate budgets are available to make this transfer.

Other Options Considered

20. An alternative option would be to continue to maintain assets which are meant for the predominant use of Housing tenants under the General Fund. Budgetary constraints mean this would be less preferable.

Reasons for the decision/recommendation

21. Due to financial constraints in the General Fund and the suitability of these properties to be considered HRA assets, the recommendation is made to ensure the sustainability of retaining these assets.

Tracking Information

Governance Check	**Date Considered**
Relevant Finance Officer	S Flaxman 20/07/2021
Chief Finance Officer (or Deputy)	H. Simpson 25/08/21
Monitoring Officer (or Deputy)	L Mickleborough 24/8/21
Relevant Executive Director	Louise Rawsthorne 21/08/21

Background papers:

Appendices: Asset information including proximity to Housing land and local usage figures

Contact Officer:

Name: Kate Price

Telephone number: 01603 989532

Email address: kateprice@norwich.gov.uk

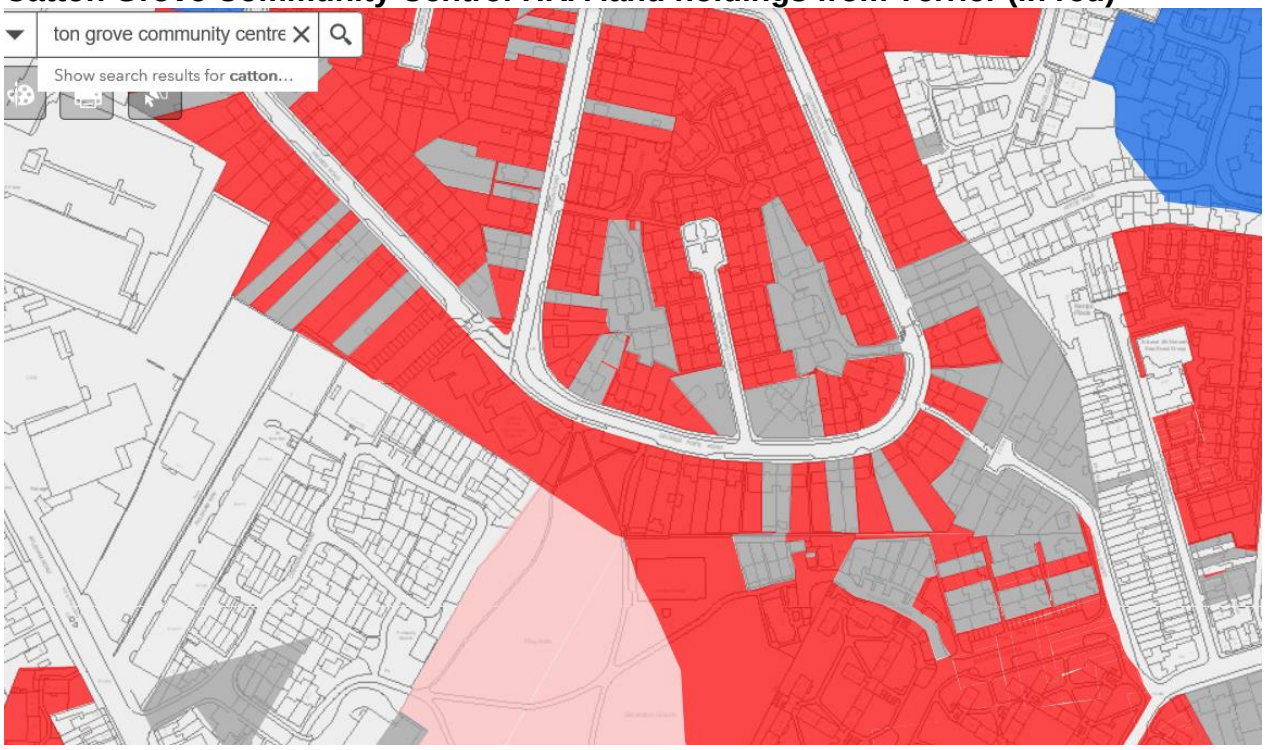
Community centre HRA transfer key information - appendix

Key information from footfall and social value surveys:

Centre	Catton Grove Community Centre	Jubilee Community Centre	Greenfields Community Centre	Frere Road Community Centre	Pilling Park Community Centre	Community centre averages
Households within 1 mile	5,626	2,728	2,169	2,728	2,134	3,347
% of visitors who are residents within 0.5 miles of the centre	51%	30%	46%	30%	63%	37%
% of visitors who are residents within 1 miles of the centre	70%	46%	64%	36%	76%	54%
% users who come from lowest quartile of household income (Q1)	58%	56%	19.4%	56%	42.5%	32.8%
% users from household in lowest quartile for deprivation (Q1 based on Norwich only)	68.6%	24%	18.6%	24%	41.9%	32.8%
Average annual NCC £ spend (based on seven-year average)	£7,880	£13,622	£8,456	£7,866	£7,630	£10,428

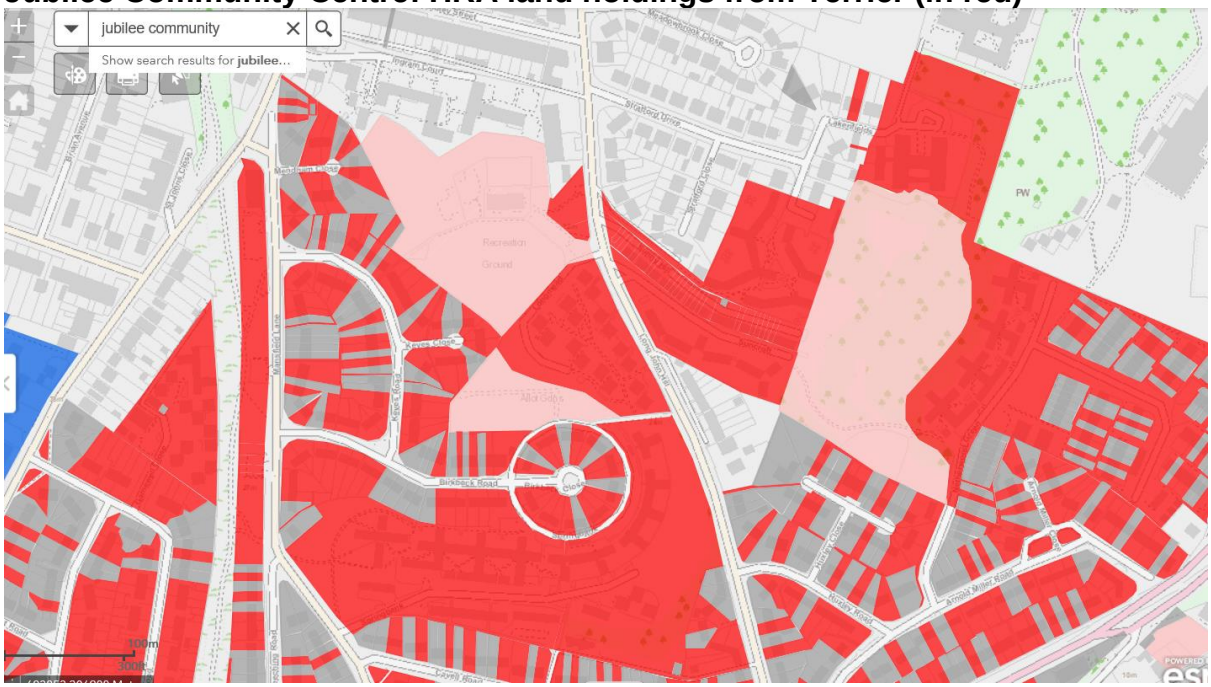
Catton Grove Community Centre: HRA properties locally

Catton Grove Community Centre: HRA land holdings from Terrier (in red)



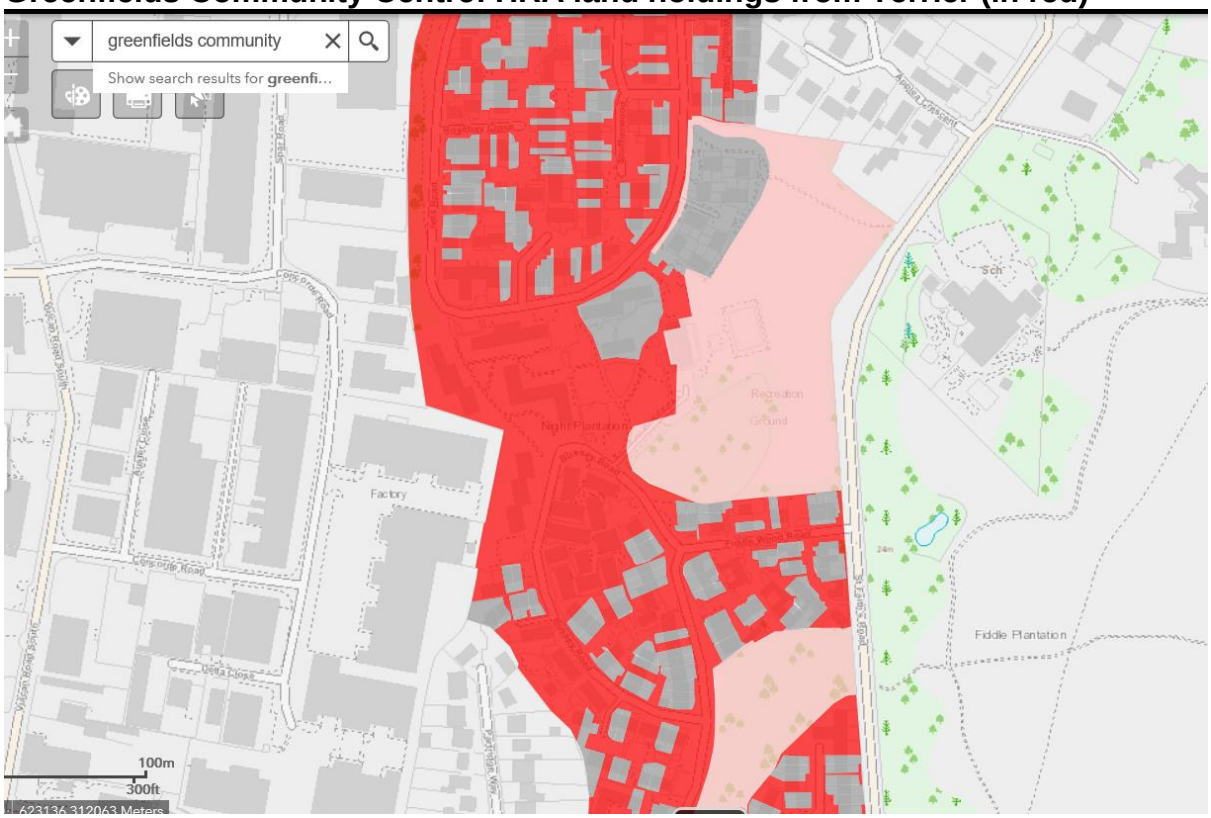
Jubilee Community Centre: HRA properties locally

Jubilee Community Centre: HRA land holdings from Terrier (in red)



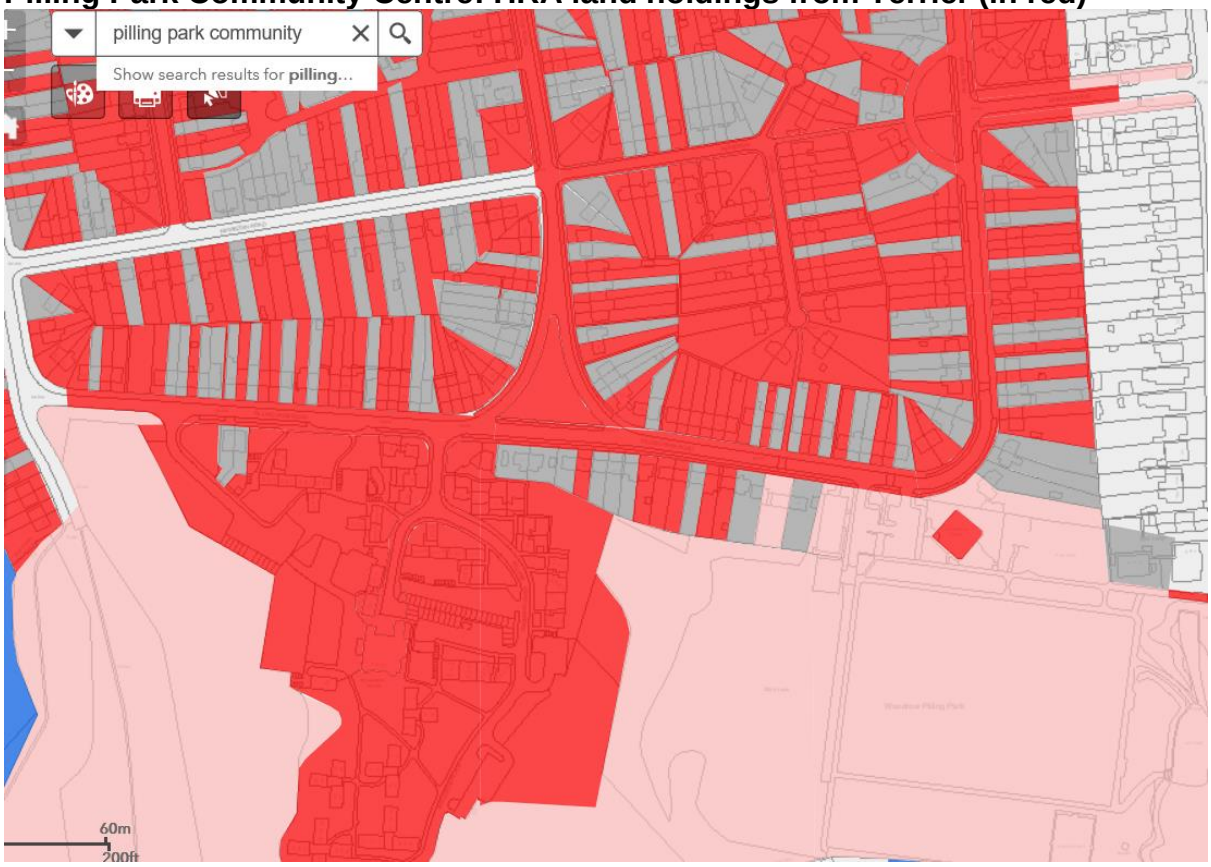
Greenfields Community Centre: HRA properties locally

Greenfields Community Centre: HRA land holdings from Terrier (in red)



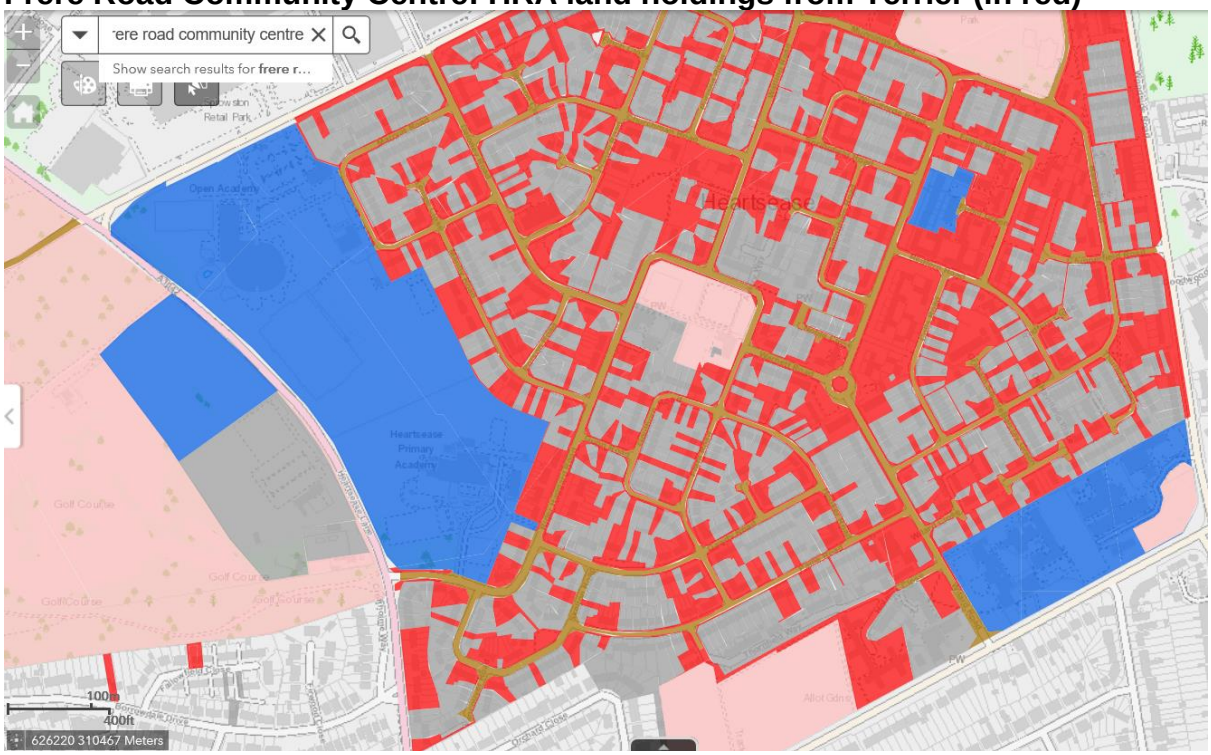
Pilling Park Community Centre: HRA properties locally

Pilling Park Community Centre: HRA land holdings from Terrier (in red)



Frere Road Community Centre: HRA properties locally

Frere Road Community Centre: HRA land holdings from Terrier (in red)



Item 9

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.

Contact Officer:

Helen Chamberlin, Head of Strategy, Engagement and Culture

01603 989269

helenchamberlin@norwich.gov.uk

Ruth Newton, Senior Strategy Officer

01603 989498

ruthnewton@norwich.gov.uk

Hannah Simpson, Head of Finance, Audit and Risk

01603 989569

hannahsimpson@norwich.gov.uk

Combined Assurance Quarterly Report

Q1 2021-22

Contents

1. Executive summary....7
1.1 Summary headlines....7
1.1.1 Performance....7
1.1.2 Finance....8
1.1.3 Risk....10
Annex 1: Performance Data Slides....12
Annex 2: Grants....17
Annex 3: Q1 approved capital virements....18
Annex 4: Corporate Risk Register....19
Appendix A. Development and City Services....38
A.1 Performance....38
A.1.1 Summary of performance for this quarter....38
A.1.2 Successes and challenges....38
A.1.3 Case study....39
A.2 Finance....39
A.2.1 Development and City Services revenue budget....39
A.2.2 The key variances for the directorate:....40
A.2.3 Savings tracker....40
A.2.4 Development and City Services capital budget....40
A.3 Risk....41
Annex A1: Development & City Services General Fund Revenue Budget....42
Annex A2: Development & City Services General Fund Capital Budget....44
Annex A3: Development & City Services HRA Capital Budget....49
Appendix B. Community Services....51
B.1 Performance....51
B.1.1 Summary of performance for this quarter....51
B.1.2 Successes and challenges....51
B.1.3 Case Study....51
B.2 Finance....52
B.2.1 Community Services revenue budget....52
B.2.2 The key variances for the directorate:....52
B.2.3 2021/22 Savings tracker....52
B.2.4 Housing Revenue Account revenue budget....53

B.2.5 Capital budgets 53
B.3 Risk 54
Annex B1: Community Services revenue budget 55
Annex B2: Community Services general fund capital budget 56
Annex B3: Community Services HRA capital budget 59
Appendix C. Corporate & Commercial Services 61
C.1 Performance 61
C.1.1 Summary of performance for this quarter 61
C.1.2 Successes and challenges 61
C.1.3 Case Study 61
C.2 Finance 62
C.2.1 Corporate & Commercial Services revenue budget 62
C.2.2 Key variances 62
C.2.3 Corporate Financing revenue budget 63
C.2.4 Savings tracker 63
C.2.5 Corporate & Commercial Services capital budget 63
C.3 Risk 64
Annex C1: Housing Benefit Subsidy Briefing Note 65
Annex C2: Corporate & Commercial Services and Corporate Financing revenue budget 68
Annex C3: Corporate & Commercial Services capital budget 69
Contact Officers: 70

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 20201 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			
	Impact	Likelihood	Combined	Risk Direction
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			
	Impact	**Likelihood**	**Combined**	**Risk Direction**
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**

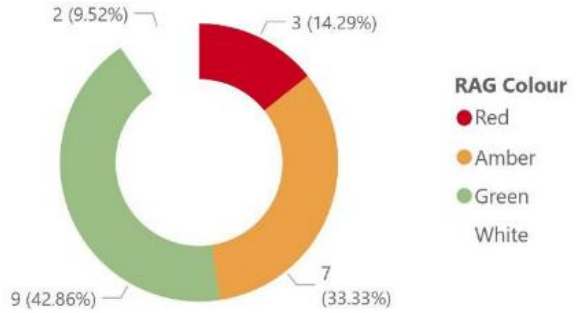
Count of KPI performance RAG colour in current quarter by **corporate priority**

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

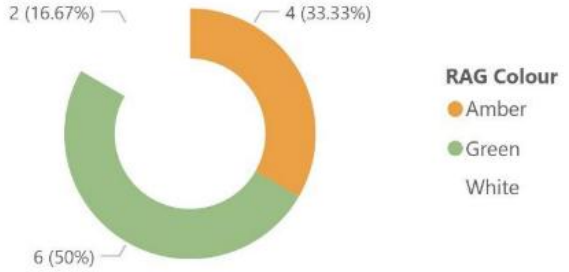
RAG colour key

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**



NORWICH City Council

Community Services KPIs

CORPORATE PERFORMANCE

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

NORWICH City Council

Corporate & Commercial Services KPIs

CORPORATE PERFORMANCE

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

NORWICH City Council

Development & City Services KPIs

CORPORATE PERFORMANCE

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

NORWICH City Council

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:
				Target Risk				Current Residual Risk		
Description/Triggers	***Impact***	***Mitigation***	***Date Raised***	*Consequence*	*Likelihood*	***Score***	***Risk Strategy***	Consequence	Likelihood	**Score**
• 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	• 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.	• £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	• 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**
• 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	• 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.	• 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**
• 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)	• 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	• 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**
• Covid-19 and risk of spreading infection across the workplace.	• 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	• 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 hall • Mental health working group in place to support staff wellbeing & resilience • Covid Risk Assessment • Provision of PPE • Risk 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:

- 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 organisation
- Risk 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:
				Target Risk				Current Residual Risk		
Description/Triggers	**Impact**	**Mitigation**	**Date Raised**	Consequence	Likelihood	**Score**	**Risk Strategy**	Consequence	Likelihood	**Score**
• Adverse impacts associated with further restrictions and pressures associated with Covid-19 that will have on the city, council and local services	• 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	• 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**
• Continued uncertainty over the nature of the UK's exit from European Union. • Risks associated with potential no deal scenario	• Public disorder events • Food availability (panic buying/ stockpiling) - Increased prices for food and fuel • Possible disruption to fuel supplies • Staffing issues (EU nationals) • Inclement weather may have increased impacts • Flood season September – April (impacts on Costal 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	• Membership & participation in Norfolk Resilience Forum (NRF) • NRF multi-agency plans to deal with significant events • NRF Brexit Strategy • Business Continuity Plans • Brexit Communications Plan • National guidance/ toolkits • Strategic 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 Worse 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

			Trade deal between the UK and EU finalised late December 2020. Proactive promotion and targeted comms to encourage EU nationals to register for EU Settlement Scheme. If individuals do not register they will become unlawfully resident, in breach of UK immigration laws and could be forcibly removed. They will not be entitled to benefits or support and classed as having No Recourse to Public Funds. Housing to consider if there are implications on housing stock and their service area. This could potentially result in greater numbers of rough sleepers.

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
• Occurrence of a significant event: ○ 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	• Council/services unable to function. • Increase in demand on Council services • Vulnerable service users unable to access services • Reputational damage	• 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

	Target Risk				Current Residual Risk		
Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
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

		• Emergency planning duty officer rota and procedures in place	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. • 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 This risk has been combined with the previous risk 13 “Occurrence of a significant event”. Risk 13 to be deleted.

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**
• 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	• 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	• 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**
• lack of staff awareness and training, • An IT vulnerability allows a Cyber-attack on the corporate data network • Failure to address the IT recommendations of IT Health assessments in a timely fashion. • Non-compliance with GDPR legislation	• 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 disrupted • Financial impact of prolonged IT shutdown • Political & reputational risk • Non 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.	• Mandatory e-learning modules on systems security & GDPR • Corporate Information Group – monitor data breaches GDPR related issues. • Independent annual Cyber health assessments provides for a friendly warning of vulnerabilities • Firewalls & Security Products • Internal 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**
• Ending the joint venture contracts with Norse group forproperty management and general fund and housing repairs & maintenance (April 2022) and avoiding significant impacts on services. • Poor relationship management • Joint ventures not managed effectively, and key service outcomes not achieved. • Contracts not managed effectively. • Joint venture arrangements do not run to term or budget	• Key services not delivered • The Council does not get VFM • Benefits of partner and contract management not realised. • Specification not adhered to. • Services not provided at an acceptable level • Customer and staff complaints	• Place project – multi officer project team and board in place to implement insourcing projects • Business as usual workstream to oversee delivery and performance • Revised key performance indicators for property and building maintenance contracts agreed • Regular review of performance	Jun 20	3	3	**9**	**Manage**	3	4	**12**

Risk Control Action			
Action	**Owner**	**Target Date**	**Update**
Recommendations from the internal audit review of the housing repairs & maintenance contract reviewed and action plan agreed	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
• 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.	• 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	• 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

	Target Risk				Current Residual Risk		
Date Raised	Impact	Likelihood	Score	Risk Strategy	Impact	Likelihood	Score
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**
• Failure to adequately manage risk to residents affected by antisocial behaviour	• Death or serious injury to resident • Mental well-of resident being impacted • Escalation of issues leading to increased service demand and/or cost	• Ensure risk assessment process being followed throughout the antisocial behaviour process • New ASB team fully staffed	Oct 20	2	3	**6**	**Manage**	4	4	**16**

Risk Control Action			
Action	**Owner**	**Target Date**	**Update**
Successful recruitment to new team so it is fully staffed	Early Intervention & Community Safety Manager	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: • Visiting officer Risk assessments • Assessment 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:

Description/Triggers	Impact	Mitigation
• Ownership of contract management strategy unclear • Resourcing of contract management and training inadequate • Clarity of service area accountability & roles and responsibilities poor • Contract managers not fully aware of the risks if robust regular contract management with their suppliers and supply chain not undertake • Inadequate SLA/KPIs/MI identified in tender/contracts together with appropriate escalations /consequences • Due diligence pre award and ongoing poor	• Third party relationships and contracts not managed appropriately causing: ○ contract value not realised / obligations not carried out ○ Poor performance ○ Financial loss / poor value for money ○ Legislative requirements not met / regulatory / legal fine or censure ○ Reputational impact ○ Lack of visibility of supplier performance	• Use of framework agreements provides a level of due diligence • Revised contract management strategy • Robust guidance on obligations and roles and responsibilities for contract management • Training to be delivered to new contract managers and new officers in procurement team • 'Driving value through our supply chain' corporate service review to be instigated • IA coverage in audit plans • Platinum contract performance review (annual checklist)

	Target Risk				Current Risk		
Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
Aug 20	3	3	9	Assess	4	3	12

Risk Control Action

Action	Owner	Target Date	Update
• Develop Contract Management training/Source training delivery • Deliver training ○ NCLS officers ○ NCC officers	Business Relationship & Procurement Manager Business Relationship & Procurement Manager	Complete Ongoing Sep 21	Training delivered to NCSL based on current guidance. Wider training needs to be reviewed – to be part of service review/strategy action plan development
Refresh procurement guidance documents ○ Procurement Strategy ○ Contract Procedures ○ Other	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 Ongoing	Cross cutting working group established to deliver the approved review Review of key contracts and sharing of best practice

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**	
• 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	• 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	• 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 Enviroment 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 Enviroment 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 Enviroment 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 the 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**
Complete	(176,405)	-	0
Green	(593,851)	-	0
Amber	(403,379)	167,122	0
Red	(222,631)	210,631	0
	(1,396,266)	**377,753**	**0**

Key savings at risk:
£125,000 contract savings
£55,000 cashless parking
£38,000 parking in parks
£25,000 cemeteries income
£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)
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)
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)
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)	Requested 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)	Requested 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 Maddrmkt 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)	Requested 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)	Requested 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 Rdbt - 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)	Requested 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 Hl 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 forwards (£000)	Current Budget with carry forwards (£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 NewHsg 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 forwards (£000)	Current Budget with carry forwards (£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 indicators[1] 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 doorstop 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
Complete	(549,003)	-	-
Green	(32,300)	-	-
Amber	(460,084)	246,000	-
Red	(30,000)	30,000	-
	(1,071,387)	**276,000**	**-**

Key savings at risk:
£70,000 postage costs reduction
£100,000 IT contract reductions
£25,000 additional TIC costs due to timing of implementation

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)
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 boliers - 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 in 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 out 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
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)**

Key savings at risk:

£41,000 Revs and Bens Stretch target

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)
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 Allwncs	(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**	

Contact Officers:

Ruth Newton, Senior Strategy Officer

01603 989498

ruthnewton@norwich.gov.uk

Hannah Simpson, Head of Finance, Audit and Risk

01603 989569

hannahsimpson@norwich.gov.uk

NORWICH City Council

Item 8

Committee Name: Cabinet

Committee Date: 08/09/2021

Report Title: The transfer of building repairs and maintenance services to Norwich City Services Ltd, and property services to Norwich City Council

Portfolio:	Cllr Harris deputy leader and member for social housing Cllr Kendrick Cabinet member for resources
Report from:	Executive director of community services
Wards:	All

Purpose

1. To provide Members with an update in relation to the progress of project place phase 2 which includes the transfer of building repairs and maintenance services to Norwich City Services Limited (NCSL), and the transfer of asset management services directly back to the Norwich City Council (NCC) by April 2022.

2. To seek approval for use of earmarked reserves to fund additional revenue cost requirements to support the successful delivery of the programme which is overseeing the transfer, and the reprofiling of the capital budget between financial years.

3. To provide information on the emerging repairs and maintenance operating model which will transfer to NCSL and the approach to the transfer of asset management services directly back to the council.

Recommendation:

4. That Cabinet approve the utilisation of earmarked invest-to save reserves to fund additional revenue investment of £747,000 to support delivery of project place phase 2 (£149,000 from the general fund reserve and £598,000 from the HRA reserve). The details as described in this report under financial implications.

5. That Cabinet approves the reprofiling of the existing capital budget between financial years, increasing the 2021/22 capital programme by £262,000 and reducing the 2022/23 programme by the same value. The details as described in this report under financial implications.

Policy Framework

6. The Council has three corporate priorities, which are:
    a. People living well
    b. Great neighbourhoods, housing and environment
    c. Inclusive economy

7. This report meets the “Great neighbourhoods, housing and environment” corporate priority

8. This report addresses “Good quality housing” strategic action in the Corporate Plan

9. This report helps to meet the following themes “Modernising the Council; reimagining local services and Housing, regeneration and development” within the COVID-19 Recovery Plan

Report Details

Background

10. In June 2020, Cabinet approved a business case for the transfer of council services which are currently delivered through joint venture arrangements between NCC and Norse. The following benefits were outlined:

    - Greater direct influence and control over how services are provided.

    - The opportunity to refresh the specification of services provided – current specifications have not been updated since the start of the contracts and need to be updated to reflect current local, political, financial and environmental changes

    - Bringing the property services back into the council effectively removes a layer of middle management processes between the council and the building maintenance service which should enable better integration with housing services provided by the council.

    - The opportunity to integrate with the council more effectively to provide a more seamless service to customers and users of services.

    - The opportunity for reduced costs when systems have been condensed and integrated – spreading costs across a wider base and increased buying power across the council.

- The ability to focus and link delivery to Norwich's strategic priorities.

- Simpler governance arrangements enabling more direct oversight and management of performance and service quality.

- Aligned priorities, infrastructure and values to enable strong working relationships, greater accountability and better communication which should improve employee and customer experience.

11. Following the incorporation of NCSL and appointment of the managing director and the board, environmental services were successfully transferred to NCSL in April 2021 under phase 1 of Project Place.

12. Phase 2 of Project Place has commenced, which is overseeing the transfer of building repairs and maintenance services (currently provided by Norwich Norse Building Ltd) to NCSL, and the transfer of property management services (currently provided by Norfolk Property Services Norwich) directly back to NCC by 1st April 2022.

13. Incorporating the learning from phase 1, the resource and investment requirements for the delivery of phase 2 of the transfer – which is significantly more complex than phase 1 - have been reviewed.

    - Phase 2 of the transfer is assisted by NCSL and the associated supporting services are already in place (HR, finance, ICT) but the services being transferred in this phase are more varied and complex in their nature than those transferred in phase 1.

    - Current service delivery is underpinned by a range of IT systems, processes, and suppliers/contractors across two currently separate organisations. In addition, the repairs and maintenance and asset management services are being transferred separately back to NCC and NCSL which requires two different approaches to delivery models, structures, supporting systems and processes.

    - A significant and higher number of projects are required to ensure that vehicles, suppliers, contractor arrangements and preparation for the workforce are all in place in advance of transfer dates.

14. As a result of the review of phase 1:

    - Preparation work for phase 2 has been divided into four workstreams: within each workstream are a series of projects, with project leads reporting monthly on progress.

    - The Project Place Board which includes exec directors, managing director NCSL and programme leads meets monthly to approve key decisions, monitor and agree risk mitigations and allocate resources.

    - Scheduled monthly strategic meetings between NPSN, NNBL and NCC are in place to oversee the strategic approach to the transfer.

- Formal consultation with transferring NNBL and NPSN employees will be conducted by Norse in accordance with TUPE regulations. Norse have advised that this will commence in January 2022. Joint meetings with the trade unions are planned to start in the autumn and engagement with the employees affected has already commenced and will continue to the point of transfer.

- Employing additional skilled people, recruiting experts into technical roles, purchase of IT hardware and software, property and equipment have all been identified as critical in being able to deliver effective services for residents and tenants.

- Employing additional project managers as a risk to the delivery of some NCC day-to-day services and delay to priority projects has been identified if officers working within these areas are wholly seconded to support phase 2 or asked to support phase 2 in addition to existing workloads.

Emerging building repairs & maintenance operating model

15. Currently, building repairs and maintenance services are delivered by NNBL. The contract includes delivery of the following services: minor repairs; major repairs; refurbishment of empty properties (voids); damp repairs; whole house improvements and major and minor adaptations for disabled residents. NNBL also, undertake some compliance works as part of the contractual arrangements.

16. That range of services delivered will remain the same at the point of transtion to NCSL. However, bringing these services under direct control of the council will provide greater opportunities to generate efficiencies and improve quality.

17. It was originally intended that building services would be delivered as they are until fully embedded into NCSL, with the services essentially 'lifted and shifted' across from NNBL to NCSL. However, it is clear the current services provided under the NNBL joint venture arrangement with Norse require improvement to achieve expected and demonstrable levels of contractual performance upon transfer to NCSL.

18. As such, repairs and maintenance and property expertise has been recruited by NCC to support both the development of an entirely new operating model and to oversee the improvement of existing services. The focus is on improving the current service performance to mitigate against NCSL inheriting backlogs and legacy performance issues, and on access to, and transfer of information (data) to understand current services and therefore future operating model requirements and costs. The investment requirement outlined in this report will be critical to the successful transition.

19. It is important to be clear that this improvement is expected to take at least 2 years, with the transfer of services to NCSL being an important milestone in a longer-term programme of service improvement.

20. The new model will be shaped in consultation with NCC tenants throughout the autumn to understand their priorities and aspirations for the service.

21. The current annual contract value for the services described in paragraph 1 totals £11m. It is anticipated that with investment in IT (Northgate Housing Management), mobile working solutions, technology, systems and processes opportunity for efficiencies will result in savings over time against current contract costs. The full, detailed proposed operating model will be presented to Cabinet for approval later this year.

22. To support future efficiencies following transfer to NCSL, a two-year improvement plan (2022 – 2024) will be developed.

Emerging asset management model

23. Asset management services are currently delivered by NPS Norwich Ltd (NPSN). The services provided include management of the council's commercial property portfolio including lease management, condition surveys, rent reviews, acquisition, and disposal. Facilities management of NCC main corporate buildings, health, safety and compliance management of housing and non-housing properties, contract administration of the NNBL contract, stock condition surveying and reporting, capital programme planning and delivery.

24. Given the specialist nature of this work and the requirement to manage significant projects, both in terms of value and scope, the majority of this work is outsourced to specialist contractors for example, major structural work/ geothermal heating solutions.

25. As these are primarily strategic property services rather than operational delivery, these services will be transferred directly back to NCC in April 2022 rather than to NCSL.

26. The delivery model, including the housing asset strategy, function, organisational structure and directorate reporting line will be developed and presented to Cabinet for approval later this year. The new model will be consistent with the new council directorate structure which was implemented in April this year.

27. Consultation with NPSN colleagues on the delivery model will take place during the Autumn. Formal TUPE consultation is described and will start in January 2022. The detailed delivery model will be presented to Cabinet for approval later this year.

Northgate housing management

28. The successful start-up and integration of the Northgate system is at the heart of the housing and repairs transformation. Both the new property management service and the repairs and maintenance services will rely on the effective running of this system.

29. The introduction of the Northgate housing management system creates the opportunity tosignificantly improve the existing housing maintenance process and importantly, a vastly improved customer user experience.

30. In addition, the new system is a fully integrated, modular, housing management system that will support the phase 2 transfer of services including, repairs scheduling and functionality for a range of property and asset and compliance functions.

The benefits include:-

- The rationalisation of a number current dispirate systems, which reduces risks to data integrity and reduces the administration of data
- Greater integration across all housing management services meaning a more effective, joined up approach across the housing services
- Greater security, control and management of housing-related data
- More effective performance reporting and management information enabling a more proactive approach to managing the service
- Delivers more streamlined, automated end-to-end service for customers. Customers will be able to book services and repairs online and track progress – making it a more convenient service and more cost effective for the council.

Consultation

31. **Members**: Consultation with members has been a feature of the transfer since the early options appraisals were shared in 2018Consultation has taken place before the September Cabinet meeting with the cross-party Joint Venture Working Group.

32. **Trade Unions & Workfirce**: Joint monthly meetings between Norse, NCC and the trade unions will commence in September 2021. These will increase to fortnightly meetings in January 2022 when formal consultation commences.

33. **Workforce**: At the time of publication, workforce engagement meetings with transferring NNBL employees are being arranged as the start of a series commencing in September 2021. An initial meeting has been held with employees that will transfer from NPSN. These will continue throughout the year up until and after the transfer.

34. The formal consulation with the transferring workforce will be carried out by Norse in accordance with TUPE regulations and this is due to commence in January 2022.

35. **Tenants and leaseholders**: Formal consultation has been undertaken with tenants and leaseholders, in line with our statutory obligations, through the following channels, Tenant Panel, Tenant & Leaseholder Magazine, Citizens Magazine. Clarifying questions have been, but there

has been no substantive feedback has been received through consultation feedback channels to date.

36. Further consultation with leaseholders will be completed to ensure compliance with Section 20. Beyond the statutory responsibilities, tennant and leaseholders will be consulted with to better understand their priorities and how they can be met within the new services.Implications

Implications

Financial and Resources

37. 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.

Transition Revenue Requirements

38. The business case approved by Cabinet in June 2020, detailed an estimated revenue transition budget requirement of £2.1m to be funded from the council's invest-to-save reserves. The funding was split on a 60/40 basis between the HRA and the General Fund earmarked reserves in line with the contractual spend with the joint ventures. A further £0.1m was subsequently drawn down from earmarked reserves to support the preliminary works on the new depot.

39. As the project has progressed requirements and estimates have been further refined. A review has been completed to update the cost estimates for the remainder of phase 2. All workstream leads have provided updated financial requirements which have then been reviewed and challenged by finance, the project team and Project Place Board.

40. The review has identified required revenue costs of £1.504m in 2021/22 and £44,000 in 2022/23. Compared to the remaining transition budget of £801,000, this is an additional budget requirement of £703,000 in 2021/22 and £44,000 in 2022/23 (Table 1).

41. The key areas of additional revenue costs relate to project resource. These additional resources will support the project through to March 2022 in areas including general IT, Northgate system IT and building maintenance. The requirements also include recruiting business as usual employees, such as the Operations Director, in advance of the transfer date to facilitate the transition. These roles will transfer into BAU from 1 April 2022. Additional costs have also been identified in relation to PPE, IT licences, testing and training as more information has become available.

Table 1

Budget vs Forecasted Revenue

Description	2021/22 Forecast (£m)	2022/23 Forecast (£m)
Resource and Recruitment	1.292	0.044
Northgate, E5 & iTrent, Vehicle Security and Lease	0.080	
Buildings and Property Maintenance (PPE, Licences)	0.132	
Total	**1.504**	**0.044**
Current Budget	0.801	£0
Variance to Budget	(0.703)	(0.044)
2021-23 Variance to Budget	(0.747)	

42. As the additional transition costs identified are related to the transfer of the building repairs and property management functions, the costs are proposed to be funded on an 80/20 basis between the HRA and the General Fund earmarked reserves in line with the relevant contractual spend for the services. This equates to £0.149m from the general fund invest to save reserve and £0.598m from the HRA reserve. These costs can be met from within the available reserve balances per Table 2.

43.
Table 2

	GF invest-to-save reserve (£m)	HRA invest-to-save reserve (£m)
Opening balance – April 2021	2.513	1.772
Existing Project Place commitment	0.320	0.481
Other approved commitments	0.159	0.034
Additional Project Place commitment	0.149	0.598
Remaining unallocated balance	**1.885**	**0.659**

Transition Capital Requirements

44. In June 2020 Council approved a £1.271m budget for IT, tools and equipment, with recharges made to the company over the useful life of the assets. In January 2021 Cabinet approved the reprofiling of £0.066m from 2021-22 to 2020-21 (Table 3). The actual costs in 2020/21 were £0.430m which was £0.095m higher than budget as a result of IT costs being incurred ahead of the budget profile.

45. The capital budget was profiled across a three-year period in line with initial estimates. As the project has progressed, it has been confirmed that there are additional capital requirements in 2021/22 which are required ahead of the phase 2 transfer of services in April 2022.

46. Cabinet is therefore recommended to approve the reprofiling of capital spend between financial years, increasing the 2021/22 capital programme by £0.262m and reducing the 2022/23 programme by the

same value. The overall capital requirement for the transfer remains within the £1.271m approved by Council in June 2020.

47. Given the overall programme costs remain at the original £1.271m approved by Full Council in July 2020 the reprofiling is in line with existing budget approvals.

Table 3: Capital Budget by Year

Capital Budget	2020/21 (£m)	2021/22 (£m)	2022/23 (£m)	Total (£m)
Original budget profile	0.269	0.74	0.262	1.271
Revised budget profile (Jan 2021)	0.335	0.674	0.262	1.271
Proposed budget profile (Aug 2021)	0.430 (actual)	0.841	0	1.271

Table 4: Proposed budget profile by asset type

	2020/21 (£m)	2021/22 (£m)	2022/23 (£m)	Total (£m)
	Actual	**Budget**	**Budget**	
Hardware – end user	0.106	0.246	0	0.352
Software	0.125	0.275	0	0.400
Equipment	0.199	0.317	0	0.517
Specialist Equipment		0.002	0	0.002
Total	**0.430**	**0.841**	**0**	**1.271**

48. There was an assumed capital allocation in Year 3 (2022/23) for investment in equipment for NCSL to support the delivery of the environmental services contract. As a result of the reprofiling of the capital budget to support the completion of phase 2 of the project NCSL moves into business-as-usual activity from 2022/23. The company through it's client service will therefore need to seek approval for future capital investment as part of the council's corporate planning cycle and budget approval process.

Summary

	Remaining budget (£m)	Identified requirement (£m)	Additional funding required (£m)

Transition Costs	0.801	1.547	0.747
Capital investment	0.841	0.841	0.000

1. It is recommended that Cabinet approve the utilisation of earmarked invest-to save reserves to fund additional revenue investment of £0.747m to support delivery of project place phase 2. Applying the 80:20 apportionment this is £0.149m from the general fund reserve and £0.598m from the HRA reserve.

Legal Implications

2. The principles of the Council's ability to award contracts to NCSL was set out in the Cabinet report of January 2021, in which it was identified that such contracts are exempt from Public Contract Regulations 2015 by virtue of the Teckal exemption. The Council continues to be satisfied that the principles of the Teckal exemption continue to apply.

3. The Chief Finance Officer (the Executive Director for Corporate and Commercial Services) is authorised to utilise earmarked reserves for the purposes that the reserves were established. As outlined in the Council's constitution, officers may, at their own discretion, elect not to use their delegation and refer the matter to Cabinet where the matter is of strategic importance.

4. Decisions by Cabinet must remain consistent with the Budget and Policy framework. As this report seeks the utilisation of reserves and the reprofiling of spend across the Medium Term Financial Strategy period, this decision remains consistent with the budget.

Statutory Considerations

Consideration:	**Details of any implications and proposed measures to address:**
Equality and Diversity	A full integrated impact assessment was completed in May 2020 and found a neutral impact.
Health, Social and Economic Impact	A full integrated impact assessment was completed in May 2020 and found a neutral impact.
Crime and Disorder	A full integrated impact assessment was completed in May 2020 and found a neutral impact.

Children and Adults Safeguarding	A full integrated impact assessment was completed in May 2020 and found a neutral impact.
Environmental Impact	A full integrated impact assessment was completed in May 2020 and found a neutral impact.

Risk Management

5. A detailed project register is held within project place. The high-level risks are set out below with confidential risks in exempt appendix 2.

Risk	**Consequence**	**Controls Required**
There may be a risk that Northgate and other IT systems are not implemented and 'go live' in time to support 1st April 2022 transfers.	Essential IT systems are not available to support services	Northgate Programme Board monitoring delivery to key milestones and managing risk Risks clearly understood, continually monitoring and mitigation in place Dedicated project team in place working closely with project place team Project dependencies and links mapped
There may be a risk that NCSL/NCC are unable to secure or transfer sufficient capacity, skills and expertise, or key staff are lost prior to transfer	Impact on ability of NCSL and NCC to manage and undertake service delivery Loss of service knowledge (inc. buildings, contracts and systems)	New roles and job descriptions to be benchmarked against sector market to ensure competitive Early appointment to key roles within NCSL and NCC to provide certainty Early and consistent engagement and consultation with existing teams Modernisation of working environment e.g., vehicles, equipment and IT and

		improvements/benefits communicated
There may be a risk of further national and local wave/s of COVID during the winter months	Further waves of covid during the winter months could result in localised lock downs, local outbreaks resulting in staff shortages, disruption to services.	Continue to provide staff colleagues with advice and information on limiting Covid infection outbreak. Ensure working practices and buildings are in line with current health and safety practice.
There may be a risk of disruption to vehicles and building materials supply chain	Materials supply chain less certain than pre-brexit This could impact the ability to stock the service ready for GO-LIVE and the full range of repairs following GO-LIVE	Procurement of vehicles and materials supply underway, giving time to create the right stock levels Consideration of hire, short term lease or purchase of NNBL existing vehicles to be established as mitigating approach
There may be a risk of an increase in materials, labour and equipment Costs	If material prices rise further; the cost of stocking the service for day one and the on-going delivery of the service may increase If labour prices increase generally; there may be more staff leaving the service pre-transfer (leading to a need for recruiting new staff) and the cost of any subcontracted services could rise	Building repairs and maintenance business case and property services proposal key assumptions to include stress testing to incorporate likely cost increase scenarios Work already in place to engage with the workforce and to demonstrate the benefits of transferring to NCSL Local & regional employment markets being monitored New sub-contracting arrangements to be agreed as part of the project

Other Options Considered

6. The decision to transfer services was approved in June 2020. Project place was agreed as the mechanism to support the transfer of services, in two phases. Project place was established with related resources and budgets.

7. Project place service transfer budgets were approved based on the information available at the time. At the outset and during the original financial modelling processes, it was understood that there were elements in the services (particularly relating to building repairs and maintenance services) which required further clarification. As information and data transfer has advanced and the Northgate IT project has been further developed, areas have been identified where additional investment will deliver better outcomes for residents and future efficiencies for NCC.

8. It was agreed that environmental services would be transferred to NCSL 'as is' with improvements to services to be delivered in years one and two of the new company. It was indicated as, likely, that building repairs and maintenance and property services would also be transferred 'as is'.

9. As set out in this report, it has become clear following further due diligence and the appointment of dedicated technical expertise, that the 'lift and shift' of building repairs and maintenance services into NCSL is not possible. Existing service performance levels, paper-based systems, current processes, and practices require improvement.

10. Continued due diligence and work to understand the current service provision relating to property services transfer to NCC continues and as described a full proposal for the function, structure and costs will be presented to Cabinet later in the year.

Reasons for the recommendation

11. The recommendations in this report are made based on an improved understanding of:

- current service delivery standards and the challenges in improving services
- key risks as described in risk management table
- the investment required in IT to support service delivery (Northgate and mobile working solutions)
- resources (expertise and capacity) required to support successful transfer by April 2022.

12. The increased investment in technical expertise, capacity, equipment and IT will support the modernisation and improvement of current services. An improvement plan will be developed which will target savings and efficiencies over a planned period, aligned to the NCC Medium Term Financial Strategy.

Background papers: None

Appendices: Confidential risk management

Contact Officer: Executive director of community services

Name: Louise Rawsthorne

Telephone number: 01603 987754

Email address: louise.rawsthorne@norwich.gov.uk

NORWICH City Council

Item 10

Committee Name: Cabinet

Committee Date: 08/09/2021

Report Title: Treasury Management Full Year Review Report 2020/21

Portfolio:	Councillor Kendrick, resources
Report from:	Executive director of corporate and commercial services
Wards:	**All Wards**
OPEN PUBLIC ITEM	

Purpose

This report sets out the Treasury Management performance for the year to 31 March 2021.

Recommendation:

To recommend that council note the report and the treasury activity for the year to 31 March 2021.

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

This report helps to meet Treasury management strategy adopted policy of the Council

Report Details

Background

1. The Council is required by regulations issued under the Local Government Act 2003 to produce an annual review of its treasury management activities and the actual prudential and treasury indicators for 2020/21. This report meets the requirements of both the CIPFA Code of Practice on Treasury Management (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code).

2. This report details the results of the council's treasury management activities for the financial year 2020/21. It compares this activity to the Treasury Management Strategy for 2020/21, approved by Full Council on 25 February 2020. It will also detail any issues that have arisen in treasury management during this period.

Introduction

3. Treasury Management relates to the policies, strategies and processes associated with managing the cash and debt of the Council through appropriate borrowing and lending activity. It includes the effective control of the risks associated with the lending and borrowing activity and the pursuit of optimum performance consistent with the risks.

4. For the 2020/21 financial year the minimum reporting requirements were:
   - an annual Treasury Management Strategy in advance of the year (Council 25 February 2020).
   - a mid-year Treasury Management Review report (Council 16 Dec 2021).
   - an annual review following the end of the year describing the activity compared to the strategy (this report).

5. The regulatory environment places responsibility on members to review and scrutinise treasury management policy and activities. This report is therefore important in that respect, as it provides details of the outturn position for treasury activities and highlights compliance with the council's policies which have previously been approved by members. This report summarises the following:

   - Capital activity during the year (paragraphs 6 - 8)
   - Impact of this activity on the Council's underlying indebtedness (the Capital Financing Requirement) (paragraphs 9 - 16)
   - The actual prudential and treasury indicators (paragraphs 17- 21)
   - Overall treasury position identifying how the Council has borrowed in relation to this indebtedness, and the impact on investment balances (paragraphs 22-26)
   - Borrowing strategy and detailed debt activity (paragraphs 27-39)
   - Investment strategy and detailed investment activity (paragraphs 40-44)

The Council's Capital Expenditure and Financing 2020/21

6. The 2020/21 capital programme budgets were approved as part of the budget papers by full Council on 25 February 2020. Subsequent to this there were approved revisions to the 2020/21 capital budgets to include the 2019/20 capital carry forwards and new capital schemes approved during the year. The final capital programme budget is shown in **Table 1** along with the mid-year estimate as reported to Cabinet in December 2020.

7. Actual capital spending was under budget for the year by £66.210m. The actual level of revenue and capital resources needed to finance the expenditure was less than that originally estimated. The actual capital expenditure forms one of the required prudential indicators. **Table 1** shows the estimates and then the actual capital expenditure for 2020/21 and how this was financed in the year:

Table 1: Capital Programme Financing

	2020/21 Original Budget	2020/21 Final Budget	2020/21 Mid-Year Estimate	2020/21 Actual Outturn	Variance from Final Budget
Capital Expenditure	**£m**	**£m**	**£m**	**£m**	**£m**
General Fund capital expenditure	30.727	39.311	36.563	5.851	(33.460)
General Fund capital loans	5.700	7.390	6.990	7.390	0
HRA capital expenditure	34.816	51.268	48.348	18.518	(32.750)
Total Expenditure	**71.244**	**97.969**	**91.901**	**31.759**	**(66.210)**
Financed by					
Capital receipts	17.437	29.293	16.905	2.802	(26.491)
Capital grants/contributions	4.421	7.852	5.361	3.190	(4.662)
Capital & earmarked reserves	15.394	15.584	23.864	13.813	(1.771)
Revenue	3.291	12.098	13.733	2.941	(9.157)
Total Financing	**40.544**	**64.827**	**59.863**	**22.746**	**(42.081)**
Borrowing need for the year	**30.700**	**33.142**	**32.037**	**9.013**	**(24.129)**

8. Norwich Regeneration Ltd (NRL) is a private limited company wholly owned by Norwich City Council. In order to finance its housing development, NRL borrows money at commercial interest rates from the Council. As at 31 March 2021 the company had a loan outstanding with the Council of £12.65m (2019/20: £9.40m). The loan balance peaked at £15.65m during the financial year with the company making at repayment of £3m on 31 March 2021. These transactions were in line with the lending facility approved by Council. The impact of the loan movements on the capital financing requirement is shown in Table 2.

9. Norwich City Services Ltd (NCSL) is a private limited company wholly owned by Norwich City Council and incorporated on 9 June 2020. To finance the set-up of the company including the capital works on its depot building, the council has

provided NCSL with both loan and equity financing during 2020/21. A 20-year capital loan of £1.140m was advanced to the company as well as a working capital loan of £0.500m. Cash equity investment was made into the company of £0.370m. The impact of the capital loan movements on the capital financing requirement is shown in Table 2.

10. Capital expenditure may either be:

- Financed immediately through the application of capital or revenue resources (e.g. capital receipts, capital grants, revenue contributions etc.), which has no impact on the Council's borrowing need; or
- If insufficient financing is available, or a decision is taken not to apply resources, the capital expenditure will give rise to a borrowing need, which will be satisfied by either external or internal borrowing.

Council's overall borrowing need

11. The council's underlying need to borrow for capital expenditure is termed the Capital Financing Requirement (CFR). The CFR arises as the Council incurs capital spending and then if it does not apply resources immediately to finance the capital spend, (i.e. capital receipts, capital grants, capital reserves or revenue), a borrowing need arises. The 2020/21 CFR year-end balance is the cumulative total of the 2020/21 unfinanced capital expenditure i.e. £9.013m and prior years' unfinanced capital.

12. Treasury Management includes addressing the funding requirements for this borrowing need; it also includes maintaining a cash position to ensure sufficient cash is available to meet the capital expenditure and cash flow requirements. This may be sourced through borrowing from external bodies, e.g. the Government through the Public Works Loan Board (PWLB) or the money markets, or utilising temporary cash resources within the Council (known as internal borrowing).

13. The council's (non-HRA) underlying borrowing need (CFR) is not allowed to rise indefinitely. Therefore statutory controls are in place to ensure that capital assets are broadly charged to revenue over the life of the asset. This requirement is met by making an annual revenue charge, called the Minimum Revenue Provision (MRP), to reduce the CFR. This is effectively a repayment of the non-HRA borrowing need (there is no statutory requirement to reduce the HRA CFR).

14. The total CFR can also be reduced by either:

- the application of additional capital financing resources (such as unapplied capital receipts)
- charging more than the statutory MRP each year through a Voluntary Revenue Provision (VRP).

15. This differs from the treasury management arrangements which ensure that cash is available to meet capital commitments. External borrowing can be taken or repaid at any time, but this does not change the CFR.

16. The Council's CFR for the year is shown below and is a key prudential indicator. It includes leasing schemes on the balance sheet, which increase the Council's borrowing need. No borrowing is actually required against these schemes as a borrowing facility is included in the contract.

Table 2: Capital Financing Requirement

	2020/21 Original Estimate	2020/21 Revised Estimate	2020/21 Outturn (unaudited)
	£000	**£000**	
Opening General Fund CFR	**125,099**	**115,511**	**115,561**
Prior years adjustment			4,703
Movement in General Fund CFR	37,722	6,027	2,067
Closing General Fund CFR	**162,821**	**121,538**	**122,331**
Movement in CFR represented by:			
Borrowing need (capital programme)	25,000	315	1,623
Borrowing need (NRL lending)	5,700	4,200	6,250
Borrowing need (NCSL lending)		1,140	1,140
Borrowing need (capital ambition)	8,500	0	0
Repayment of NRL lending			(3,000)
Appropriation of Mile Cross site to HRA		(1,800)	(1,800)
Less MRP and other financing adj.	(1,478)	522	(2,146)
Movement in General Fund CFR	**37,722**	**6,027**	**2,067**
Opening HRA Fund CFR	**205,717**	**205,716**	**205,716**
Movement in HRA CFR	7,206	1,800	1,800
Closing HRA CFR	**212,923**	**207,516**	**207,516**
TOTAL CFR	**375,744**	**329,054**	**329,847**

17. A review of the Capital Financing Requirement has been undertaken to reconcile the historic financing requirement amount to the council's balance sheet. This has resulted in an adjustment relating to prior years which increases the CFR carried forward.

18. Borrowing activity is constrained by prudential indicators for borrowing and the CFR, and by the authorised limit.

The actual prudential and treasury indicators

19. **Gross borrowing and the CFR** - in order to ensure that borrowing levels are prudent over the medium term and only for a capital purpose, the Council

should ensure that its gross external borrowing does not, except in the short term, exceed the total of the capital financing requirement in the preceding year (2019/20) plus the estimates of any additional capital financing requirement for the current (2020/21) and next two financial years. This essentially means that the Council is not borrowing to support revenue expenditure. This indicator allows the Council some flexibility to borrow in advance of its immediate capital needs. The table below highlights the Council's gross borrowing position against the CFR. The Council has complied with this prudential indicator.

Table 3: Gross Borrowing

	2020/21 Original Estimate £m	2020/21 Revised Estimate £m	2020/21 Actual £m
Gross borrowing	219.853	219.853	219.853
CFR	375.744	329.054	329.847
Over Borrowed/(Under Borrowed)	**(155.891)**	**(109.201)**	**(109.994)**

20. **The authorised limit** - the authorised limit is the "affordable borrowing limit" required by s3 of the Local Government Act 2003. The Council does not have the power to borrow above this level. The table below demonstrates that during 2020/21 the Council has maintained gross borrowing within its authorised limit.

Table 4: Authorised Limit & Operational Boundary

	2020/21 Original Estimate £m	2020/21 Revised Estimate £m	2020/21 Actual £m
Authorised Limit for external debt			
Borrowing	404.950	404.950	404.950
Other long-term liabilities	0.794	0.794	0.794
Total Agreed Authorised Limit	**405.744**	**405.744**	**405.744**
Operational boundary for external debt			
Borrowing	374.950	374.950	374.950
Other long-term liabilities	0.794	0.794	0.794
Total Agreed Operational Boundary	**375.744**	**375.744**	**375.744**
External debt (including other long-term liabilities e.g. finance leases)			**220.647**

21. **The operational boundary** – the operational boundary is the expected borrowing position of the Council during the year. Periods where the actual position is either below or over the boundary is acceptable subject to the authorised limit not being breached.

Actual financing costs as a proportion of net revenue stream

22. The authority is required to report on the ratio represented by its net financing costs to its net revenue stream. For the general fund net revenue is represented by the amount that is funded by government grants and council tax payers, while for the HRA it is the rental income paid by tenants. This is intended to be a measure of affordability, indicating how much of the authority's revenue is taken up in financing its debt.

23. Table 5 shows that the general outturn is lower than the estimate due lower than budgeted borrowing costs combined with a higher net revenue due to additional covid-19 related grant income. The HRA outturn is slightly higher than estimated as unbudgeted impairment costs have been charged within the year; last year's outturn was at a similar level 44.39% (2019-20).

Table 5: Affordability Ratio

	2020/21	2020/21
Affordability of financing costs	**Estimate**	**Actual**
General fund - financing costs as a percentage of net revenue	20.3%	6.7%
HRA - financing costs as a percentage of rental income	40.0%	44.0%

Treasury Position as at 31 March 2021

24. The Council's debt and investment position is managed by the in-house treasury management team. All activities are undertaken primarily to ensure security for investments, to ensure that there is adequate liquidity for revenue and capital activities, and to manage risks within all treasury management activities. Procedures and controls to achieve these objectives are well established both through member reporting detailed in the summary, and through officer activity.

25. The council's actual borrowing position at 31 March 2021 and activity during 2020/21 is detailed in the table below. Borrowing has remained within the authorised limit of £405.744m throughout the year.

Table 6: Borrowing activity 2020/21 (excluding finance leases)

	PWLB loans £m	Market loans £m	Total £m	Average interest rate %
Opening balance (1 April 2020)	214.107	5.000	219.107	
New borrowing taken	-	-	-	
Borrowing matured/repaid	-	-	-	
Closing balance (31 March 2021)	**214.107**	**5.000**	**219.107**	**3.77%**
Authorised limit for external debt			405.744	

26. The maturity structure of the debt portfolio was as follows:

Table 7: Maturity Structure of Fixed Rate Borrowing

	%	31-Mar-21 £m
Under 12 months	1.16%	2.552
Between 12 months and 2 years	23.28%	51.064
Between 2 years and 5 years	27.25%	59.779
Between 5 years and 10 years	30.09%	66.000
Over 10 years	18.21%	39.948
Perpetually irredeemable stock		0.510
Total borrowing		**219.852**

27. Table 8 shows the movement in investments in the year. The movement is a combinations of several factors including: an increase in the Council's internal borrowing (see table 3); repayment of loan agreements; an increase in short term creditors and a reduction in long term debtors. These can be seen on the face of the Council's Balance Sheet, shown in the draft Statement of Accounts.

Table 8: Investment Movements

	31 March 2020	Net movement	31 March 2021
	£m	£m	£m
Short term			
Banks	4.000	11.000	15.000
Building Societies	0.000	0.000	0.000
Local Authorities	5.000	10.000	15.000
Cash Equivalents			
Banks	11.300	12.450	23.750
Building Societies	0.000	0.000	0.000
Local Authorities	9.000	(9.000)	0.000
Money Market Funds	15.000	6.070	21.070
UK Government	0.000	(6.000)	0.000
Total Internally Managed Funds	**44.300**	**30.520**	**74.820**

28. The maturity structure of the investment portfolio was as follows:

Table 9: Maturity Structure

	31 March 2020 £m	31 March 2021 £m
Under 1 year	44.300	74.820
Over 1 year	0.000	0.000
	44.300	**74.820**

Borrowing Strategy for 2020/21

29. The council maintained an under-borrowed position in 2020/21. This means that the capital borrowing need (the CFR) has not been fully funded with loan debt as cash supporting the council's reserves, balances and cash flow has been used as a temporary measure. This strategy is prudent as investment returns are low and counterparty risk is relatively high.

30. Table 10 below shows the interest rate forecast to March 2024. These forecasts have been provided by the Council's treasury advisor, Link Asset Services and show gradual rises in medium and longer-term fixed borrowing rates over the next two financial years. Variable, or short-term rates, are expected to be the cheaper form of borrowing over the period.

Table 10: Interest Rate View

Link Group Interest Rate View	10.5.21											
	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
BANK RATE	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.25	0.25	0.25
3 month ave earnings	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.30	0.30	0.30
6 month ave earnings	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.20	0.30	0.40	0.40	0.40
12 month ave earnings	0.20	0.20	0.20	0.20	0.20	0.20	0.30	0.30	0.40	0.50	0.50	0.50
5 yr PWLB	1.20	1.20	1.30	1.30	1.30	1.40	1.40	1.40	1.40	1.50	1.50	1.50
10 yr PWLB	1.70	1.70	1.70	1.80	1.80	1.90	1.90	1.90	2.00	2.00	2.00	2.00
25 yr PWLB	2.20	2.20	2.30	2.40	2.40	2.40	2.50	2.50	2.50	2.50	2.50	2.60
50 yr PWLB	2.00	2.00	2.10	2.20	2.20	2.20	2.30	2.30	2.30	2.30	2.30	2.40

Source: Link Treasury 2021 (PWLB rates include adjustments for Certainty rate discounts)

31. Given the under-borrowed position of the council (Table 3) it is likely that the Council will need to undertake fixed rate long-term borrowing within the short to medium term. On 22nd July 2021 the council took out a £5m fixed rate 50-year loan with PWLB at an interest rate of 1.64%. This borrowing was in line with the Treasury Strategy and the interest costs are within the 2021/22 revenue budget provision. Any further decisions to borrow will be reported to Cabinet at the next available opportunity.

PWLB rates

32. PWLB rates are based on, and are determined by, gilt (UK Government bonds) yields through HM Treasury determining a specified margin to add to gilt yields. HM Treasury imposed two changes in the margins over gilt yields for PWLB rates in 2019-20 without any prior warning. The first took place on 9 October 2019, adding an additional 1% margin over gilts to all PWLB rates. That increase was then, at least partially, reversed for some forms of borrowing on 11th March 2020, but not for mainstream non-HRA capital schemes.

33. A consultation was then held with local authorities and on 25th November 2020, the Chancellor announced the conclusion to the review of margins over gilt yields for PWLB rates; the standard and certainty margins were reduced by 1%

but a prohibition was introduced to deny access to borrowing from the PWLB for any local authority which had purchase of assets for yield in its three-year capital programme.

34. The advice from Link, the Council's Treasury Advisers is that they do not think that the Monetary Policy Committee will increase the Bank Base Rate above 0.50% during the current and next two financial years as they do not expect inflation to return to being sustainably above 2% during this period. Regarding PWLB rates, the general situation is for volatility in bond yields to continue as investor fears and confidence ebb and flow between favouring relatively more "risky" assets i.e., equities, or the safe haven of government bonds. The overall longer-run trend is for gilt yields and hence PWLB rates to rise by around 0.5% by the end of 2023/24.

35. The Council has previously relied on the PWLB as its main source of funding; however, the council will consider alternative sources of borrowing as appropriate and in line with the treasury management strategy. We will continue to liaise closely with our treasury advisors, monitor the borrowing market and update Members as this area evolves.

36. The Municipal Bond Agency are now offering loans to local authorities. This Authority may make use of this emerging source of borrowing as and when appropriate. This is within the existing approved Treasury Management Strategy.

Forward borrowing considerations to mitigate expected future interest rate increases

37. The Council may look to arrange forward borrowing facilities should the future borrowing risk rise or predictions of a significant rate rise is expected. This would enable the Council to lock into borrowing facilities at current low rates and draw down the cash over a period of up to 3 years subject to cash flow demands. It should be noted that some of these facilities may carry brokerage and arrangement fees that will be factored into value for money assessments. The policy has been complied with in 2020/21.

Debt Rescheduling

38. No debt rescheduling was undertaken during 2020/21.

Borrowing Outturn for 2020/21

39. During 2020/21 there was no long-term borrowing and no PWLB debt was repaid. The council paid £7.997m in interest costs on external loans, this compares to a budget of £10.274m. The reduction against budget was due to the continued use of internal rather than external borrowing as a result of holding sufficient cash balances.

Investment Strategy for 2020/21

40. The TMSS for 2020/21, which includes the Annual Investment Strategy, was approved by the council on 25 February 2020. It sets out the Council's investment priorities as being:
    - Security of capital;
    - Liquidity; and
    - Yield

    No policy changes have been made to the investment strategy, the Council will continue to aim to achieve the optimum return (yield) on investments commensurate with proper levels of security and liquidity.

41. This report does not cover the Council's investment strategy in regard to non-financial investments. These investments which include the purchasing of commercial property and lending to third parties are covered under the Non-Financial (Commercial) Investment Strategy published in February 2020 as part of the Budget papers.

Investment Outturn for 2020/21

42. The investment activity during the year conformed to the approved strategy, and the Council had no liquidity difficulties.

Reserves

43. The Council's cash balances comprise revenue and capital resources and cash flow monies.

    Within the earmarked reserves, the Business Rates Section 31 reserve has increased by £17.473m. This is the extra grant received in year to compensate the council for additional business rates reliefs awarded as well as the tax loss grant. These amounts are set aside and will be returned to the general fund over the next two years to offset the deficit arising on the collection fund.

    The Council's reserves comprised

Table 11: Balance Sheet Reserves

	31-Mar-20 £m	31-Mar-21* £m
General Reserves	43.432	53.348
Earmarked Reserves	17.103	37.191
Useable Capital receipts	51.069	56.875
Capital grants Unapplied	3.462	4.274
Major Repairs Reserve	8.307	10.019
Total	**123.373**	**161.707**

* Unaudited figures

Investments held by the Council

44. The Council's year-end balance of cash and short-term investments was £74.820m. These internally managed funds earned an average rate of return of 0.086%.

45. The Council is part of a benchmarking group (run by our treasury management advisors, Link Asset Services) across Norfolk, Suffolk & Cambridgeshire. The table below shows the performance of the Council's investments when compared with this benchmark group, and also when compared with the non-metropolitan districts and all authorities that use Link's benchmarking group facility.

Table 12: Link benchmarking - position at 31 March 2021

	Norwich	Benchmark Group 7 (11)	Non met districts (87)	All authorities (217)
WARoR[1]	0.10%	0.14%	0.24%	0.21%
WA Risk[2]	3.07	3.66	3.12	2.96
WAM[3]	75	39	73	69
WATT[4]	96	64	134	130

Source: Link Treasury March 2021

[1] **WARoR** Weighted Average Rate of Return This is the average annualised rate of return weighted by the principal amount in each rate.
[2] **WA Risk** Weighted Average Credit Risk Number Each institution is assigned a colour corresponding to a suggested duration using Link Asset Services' Suggested Credit Methodology.
[3] **WAM** Weighted Average Time to Maturity This is the average time, in days, till the portfolio matures, weighted by principal amount.
[4] **WATT** Weighted Average Total Time This is the average time, in days, that deposits are lent out for, weighted by principal amount.

46. The council's average investments return (0.10%) is comparable with that for the benchmark group (0.14%), and slightly lower to the 87 non-met authorities at 0.24% and the population of 217 local authorities at 0.21%. The average investment return in 2020/21 is slightly lower than other authorities however this allowed the authority to keep council funds readily available to pay government Covid-19 grants and make capital programme payments as they fell due. The WATT for Norwich reflects the positive decision to utilise internal resources to support capital investment, therefore Norwich has kept its investments to a shorter maturity profile averaging 3 months.

Consultation

47. The report is the outturn position statement to ensure that council are kept informed of treasury activity.

Implications

Financial and Resources

48. There are no proposals in this report that would reduce or increase resources however it does report on the performance of the council in managing its borrowing and investment resources.

Legal

49. The Council is required by regulations issued under the Local Government Act 2003 to produce an annual review of its treasury management activities and the actual prudential and treasury indicators for 2020/21. This report meets the requirements of both the CIPFA Code of Practice on Treasury Management (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code).

Statutory Considerations

Consideration:	**Details of any implications and proposed measures to address:**
Equality and Diversity	n/a
Health, Social and Economic Impact	n/a
Crime and Disorder	n/a
Children and Adults Safeguarding	n/a
Environmental Impact	Sustainable investment products are an area of growth in the market. These options will be considered where the investments are in line with approved Treasury Management Strategy. Security, liquidity and yield remain the cornerstones of the Treasury Management Strategy, and it is vital that all investments continue to ensure the security of council funds as a priority and remain compatible with the risk appetite of the council and its cash flow requirements.

Risk Management

Risk	Consequence	Controls Required
Future interest rate changes can offer both opportunity and risk.	Future interest rate changes need to be assessed against the cost of borrowing.	To mitigate the risk, we will continue to work closely with the treasury management advisors to review interest rate forecasts to assess when we would look to borrow.

Other Options Considered

50. No other options to be considered. The report is to inform council of the treasury activity for the year to 31 March 2021.

Reasons for the decision/recommendation

51. To ensure that council are kept informed of treasury activity.

Background papers: None

Appendices: None

Contact Officer:

Name: Caroline Knott

Telephone number: 01603 987615

Email address: carolineknott@norwich.gov.uk

NORWICH City Council

Item 11

Committee Name: Cabinet

Committee Date: 08/09/2021

Report Title: The award of a contract for communal estate improvement work

Portfolio:	Councillor Gail Harris, Portfolio holder for social housing
Report from:	Executive director of community services
Wards:	All Wards
OPEN PUBLIC ITEM	

Purpose

To consider awarding a contract for communal estate improvement works, to Council owned Housing land

Recommendation:

To approve the award of a contract for communal estate improvement work to Breyer Group PLC, from 01 October 2021 to 30 September 2023. The contract is valued at £1,500,000 (£750,000 per annum).

Policy Framework

The Council has three corporate priorities, which are:

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

This report meets the great neighborhoods, housing, and environmental corporate priority

This report addresses the good quality housing strategic action in the Corporate Plan

This report helps to meet People living well adopted policy of the Council

This report helps to meet the housing, regeneration, and development objective of the COVID-19 Recovery Plan

View the Corporate Plan 2019-22

View the COVID-19 Recovery Plan

Report Details

Identification of need and background

1. This contract is to appoint a supplier to deliver Communal Estate Improvements, to improve the existing estate amenities, such as renewing and improving drying area surfaces and drainage, perimeter boundary wall brickwork fencing, and landscaping for resident enjoyment, providing new, and improving existing footpaths. Maintaining and improving these communal amenities in good condition will protect its residents from potential health and safety issues and help to improve the estate appearance.

2. The work is of a planned nature, therefore the works have been identified, and there is a programme of planned priority works already in place awaiting the authorisation to award this contract, for this and next financial years.

3. The contract period is for up to two years, consisting of an initial one-year term with the option to extend for a further one year, depending on performance of the supplier and budget.

4. Potential suppliers were advised that the level of funding is two years, however any expenditure in years 2022/2023; is subject to annual budget approval.

Procurement Process

5. The procurement exercise has been undertaken in accordance with Eastern Procurement Ltd (EPL) Framework procedures. It has been conducted fairly, transparently, in an open and regularised way that conforms to relevant legal requirements.

6. As a member of EPL, the council benefits from the lower rates achieved from bulk discounts provided by grouping the work required by all its members.

7. The Property Improvements framework consists of six suppliers and commenced on 25 November 2019 for a four-year period.

8. A bench marking process was undertaken with the six suppliers. Suppliers were asked to quote for a number of projects for selected sites from the works programme that had already been designed and scheduled as a bench marking exercise with works varying in size and complexity.

9. Tenders were evaluated with a maximum of 60% of the available marks awarded for price and 40% of the marks awarded for quality criteria. The quality evaluation was conducted by EPL on behalf of NPS Norwich Ltd. (NPSN) with NPSN input into the evaluation process.

10. Despite there being six suppliers on the framework, only two submitted tenders. Out of the remaining four suppliers, one withdrew their tender after submission and the remaining three declined to submit a tender bid

11. The cost and quality scores achieved by the two bidders are set out in the table below:

Company	Price	Price score	Quality Score	Total Score
Breyer Group PLC	£295,202.76	60	21.60	81.60
T.M Browne Ltd	£366,372.88	48.34	22.20	70.54

12. The supplier offering the best value for money from the benchmarking exercise was Breyer Group PLC at £295,202.76.

13. Based on the tenders received, we anticipate, subject to cabinet approval, to issue the official award after the call-in period in order for the contract to commence as soon as possible.

Consultation

14. No leaseholder or other consultation process is required.

Implications

Financial and Resources

15. 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.

16. The cost of the work is expected to amount to £750,000 per annum. Therefore, over a two-year period, the anticipated spend will be £1,500,000.

17. The works completed in 2021/22 will be funded from the capital budget which was approved by Cabinet and Council in February 2021. Capital costs for the works associated with Communal Estate Aesthetic Improvement works will be from the identified budget.

18. There are no proposals in this report that would reduce or increase resources.

Legal

19. The contract will be subject to EPL Property Improvements Framework Contract 2019 and CDM Regulations 2015 together with the Terms and Conditions for data controller to data processor contracts of Norwich City Council.

Statutory Considerations

Consideration:	**Details of any implications and proposed measures to address:**
Equality and Diversity	Some improvements in accessibility on some schemes
Health, Social and Economic Impact	These works ensure that he Norwich standard for housing is upheld, so that tenants can live in faith, well maintained homes that are fit for purpose, and comply with, current social landlord legislation.
Crime and Disorder	This could help elevate anti-social behaviours
Children and Adults Safeguarding	Council's Safeguarding Policy statement. Included as part of tender package
Environmental Impact	The contractor will be expected to engineer in positive environmental impacts

Risk Management

Risk	**Consequence**	**Controls Required**
Failure to have a suitable contract in place and suitable level of annual budget allocated will expose the Council to risk, for short-, medium- and longer-term estate defects happening	inability to manage, make safe and repair housing and estate stock in an effective and timely manner. This has the potential	Budget control to ensure the budget is effectively spent, by contract performance monitoring.

or becoming worse and associated potential health & safety implications that could be attributed to these potential defects, such as injury and compensation claims.	to present health and safety risks to tenants, residents, and the public.	

Other Options Considered

20. **Do nothing**: If the works are not carried out there will be a possibility of deterioration of the public realm on estates and potential increased anti-social behaviour. There are also health and safety and environmental risks if works are not carried out.

21. **In house provision:** The council does not have any existing in-house resources to undertake these works.

22. **Joint venture provision:** Some aspects of the work could be delivered through the council's Joint Venture arrangement with Norwich Norse Building Limited (NNBL). However, there is currently a backlog of repairs and Major works, that NNBL need to concentrate on delivering ahead of this work.

23. **Identify a single supplier to award the contract to without competition:** This route would be contrary to Contract Procedures as the value is approximately £750,000 per annum**.**

24. **Establish competitively tendered contract with one supplier:** Run a competitive procurement exercise advertised as an 'open' procedure to look for a single supplier to meet the council's requirements. This is as per the council's contract procedures for the procurement of contracts of over £25,000 to maximise open, transparent, and fair supplier selection. Although timescales allowed for the requirement to be fulfilled by this method, the EPL framework option as detailed below was already in existence still promoting value for money.

25. **Utilise an existing framework:** Eastern Procurement Ltd (EPL) is a not-for-profit organisation offering specialist compliant framework agreements, social landlords and other public sector bodies, predominantly in the Eastern region. The council are owner members of EPL and work closely with them to create bespoke procurement

frameworks. The frameworks promote value for money for the council and include SMEs and local suppliers.

A mini-competition exercise through the Property Improvements Framework provided by EPL was explored and this was found to be the best solution for the contract requirements.

Reasons for the decision/recommendation

26. To ensure timely award of a contract enabling the delivery, by a single supplier, of all types of Communal Estate aesthetic Improvements over the period 1st October 2021 to 30th September 2023

Background papers:

Recommendation to award a contract report. Project NRW/HCS/10117/P Author: Sara Crowley, Contracts Officer Date: 03rd August 2021

Appendices:

Contact Officer:

Name: John Hodson

Telephone number:07595552287

Email address: john.hodson@nps.co.uk

NORWICH City Council

Item 12

Committee Name: Cabinet

Committee Date: 08/09/2021

Report Title:
The award of a contract for housing and non-housing lift servicing and maintenance

Portfolio:	Councillor Gail Harris - Portfolio holder for social housing and Councillor Paul Kendrick – Portfolio holder for resources
Report from:	Executive director of community services
Wards:	**All Wards**
OPEN PUBLIC ITEM	

Purpose

The purpose is to delegate the Executive Director of Community Services the authority to award a contract for housing and non-housing lift servicing and maintenance

Recommendation:

To enter into a contract for the provision of housing and non-housing lift maintenance services

To delegate authority to the Executive Director of Community Services, in consultation with the Portfolio Holders for social housing and resources, to award the contract for housing and non-housing lift servicing and maintenance to the most economically advantageous bidder

Policy Framework

The Council has three corporate priorities, which are:

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

This report meets the great neighbourhoods, housing and environment corporate priority.

This report addresses the good quality housing strategic action in the Corporate Plan.

This report helps to meet People living well adopted policy of the Council

This report helps to meet the housing, regeneration, and development objective of the COVID-19 Recovery Plan

Report Details

Identification of need and background

1. The council has lift assets across 19 residential housing sites including six sheltered housing sites and at seven non-housing sites. These lifts require scheduled maintenance and servicing visits to ensure they are fit for continued operation.

2. The Council is currently in a contract with Otis Limited to undertake lift maintenance and servicing. In accordance with Contract Standing Orders, the contract with Otis was subject to a short extension to 31 October 2021, to ensure there is continuity of service whilst the future service needs were evaluated and the procurement exercise undertaken.

3. A Leaseholder consultation is currently in process for these services and would be complete prior to the commencement of a new contract.

Procurement process and timeline

4. The procurement exercise is being undertaken in accordance with Norwich City Council Procurement Procedures.

5. Following commencement of the procurement process, internal due diligence identified that the contract constituted a services contract, but the process to that point had been undertaken based on the contract being of a works nature. Although the contract had been openly advertised in accordance with our contract procedures, there are specific publicity requirements placed by the Public Procurement Regulations 2015 which means it is necessary to abort the current procurement process and re-advertise the opportunity to potential suppliers.

6. This has extended the timeframes for undertaking the procurement exercise, which was initially expected to conclude in November. It is now anticipated that the new contract will commence in January at the earliest and the current contract subject to a further short extension to cover the timeframe for the procurement exercise.

7. In accordance with both the Public Procurement Regulations and our Contract Procedure Rules, once the advertisement period has finished, suppliers will be evaluated on seven quality questions regarding technical ability, engineer availability, contract monitoring, supply chain, call-outs response times, memberships/accreditations, and employee qualifications.

8. Suppliers are asked to provide a Pricing Schedule for four work streams for housing properties routine lift servicing and maintenance, non-housing properties routine lift servicing and maintenance, the major foreseeable ancillary items and dayworks rates (to cover any unforeseen emergencies).

9. The supplier with the highest total score will then be determined and the most economically advantageous bid selected.

10. In order to avoid further delay to the contracting process, it is requested for cabinet to agree to enter a contract, but to delegate the awarding of the contract to the Executive Director of Community Services

Consultation

11. The Portfolio holder for social housing and the Portfolio holder for resources have been briefed on this proposal. In addition, the process of designing and programming in the housing and non-housing lift servicing and maintenance works and contract specification has involved detailed discussion with council heads of service, housing officers, procurement, finance, and electrical engineers within the Major Works section within NPS Norwich Ltd (NPSN).

12. This contract award is subject to Leaseholder Consultation.

Implications

Financial and Resources

13. 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.

14. The 2021/22 HRA budget for lift maintenance and servicing contracts is set at £45,000 with an additional £150,000 for capital upgrade works. Lift maintenance and servicing works to non-housing properties are funded from a general fund repairs & maintenance budget set at £289,316.

Legal

15. The contract will be subject to a JCT Measured Term Contract (MTC) 2016. together with the council's standard terms and conditions.

16. The procurement is being undertaken in accordance with Public Contract Regulations 2015.

17. nplaw will assist at the pre-tender stage, with reviewing the contractual documentation (including the JCT, Invitation to Tender, and specification), to identify and specific risks that require mitigation or amendments to the drafting.

Statutory Considerations

Consideration:	**Details of any implications and proposed measures to address:**
Equality and Diversity	The proper servicing and operation of passenger lifts has a significant effect on those who for diverse reasons cannot use stairs. It allows them access to work and home and enables them to live uninterrupted, independent lives with regards to access.
Health, Social and Economic Impact	The proper servicing of passenger lifts is essential to tenants/users/visitors gaining access to dwellings and places of work. The implications of not being able to go to work, get home without assistance etc. are incalculable.
Crime and Disorder	Neutral
Children and Adults Safeguarding	The supplier and all associated sub-contractors must adhere to the councils Safeguarding Policy statement.
Environmental Impact	Neutral

Risk Management

Risk	**Consequence**	**Controls Required**
Operational	Breakdowns/entrapment within the lift car. Delivery of works by the contractor	A Senior electrical engineer at NPSN will act as the contract administrator for the contract. This will involve regular update meetings, site visits and monitoring etc.
Financial	Additional costs for responsive repairs	As above, cost control and expenditure will be carefully managed by NPSN.

Compliance	Non-compliance of installed systems.	The lift servicing and maintenance will comply with current standards. Installation, inspections, and commissioning will be carried out by NPSN.
Security	Risk to residents during the servicing and maintenance works	The supplier and all associated sub-contractors must adhere to the councils Safeguarding Policy statement. Contractors and NPSN will work closely with council housing officers and the office facilities team to ensure that clear communication takes place with lift users to provide assurance that security will be maintained at all times.
Legal	Non-compliance with legislation could result in a sub-standard installation.	NPLaw will be consulted regarding the proposed programme and asked to provide an advice regarding the works and compliance with current regulations and standards.
Political or Reputational	The implementation of sub-standard, poorly maintained, or serviced Lifts will have a negative impact on tenants/users and would be detrimental politically and reputationally to the council	As detailed above a Senior electrical engineer at NPSN will act as the contract administrator for this scheme. This will involve regular update meetings, site visits and monitoring etc.

Other Options Considered

17. **Do nothing:** If the work is not carried out, all lifts in council housing and non-housing properties will not be able to be serviced, repaired, or maintained. This would cause disruption and health and safety risks to council tenants, council employees and subsequent complaints and possible negative press attention. This was not recommended.

18. **In house provision:** Norwich City Council does not have any existing in-house resources or skills to carry out these works. This was not recommended.

19. **Joint venture provision:** the service cannot be provided by any of the council's current joint ventures or partnerships at this current time.

20. **Identify a single supplier to award the contract to without competition:** This route would be contrary to Contract Procedures and the Public Procurement Regulations 2015

21. **Utilise an existing framework:** Frameworks provided by Crown Commercial Services (CCS) Eastern Shires (ESPO) Eastern Procurement Ltd (EPL) were explored. EPL do have a recent lift compliance framework, but it is not appropriate for this contract as the requirements of the services are too specific. This was not recommended.

22. **Establish competitively tendered contract with one supplier:** Run a competitive procurement exercise looking for a single supplier to meet the council's requirements which was the recommended option. Following this route has ensured the opportunity was made available to the competitive market, promoting value for money, yet reaching SMEs and local suppliers and is likely to achieve a better value for money outcome. Timescales allowed for the requirement to be fulfilled by this method.

Reasons for the decision/recommendation

23. It is recommended to ensure further delay to the procurement process is avoided, authority to enter into the contract is delegated to the relevant Executive Director in consultation with the Portfolio Holders for social housing and resources.

Background papers: None

Appendices: None

Contact Officer:

Name:
Neil Watts-Major Works and Services Manager NPS Norwich Ltd.

Telephone number:**01603 227172**

Email address: neil.watts@nps.co.uk

NORWICH City Council

Item 13

Committee Name: Cabinet

Committee Date: 08/09/2021

Report Title: To award a contract for the installation of a **New District Heating System at Barnards Yard, Norwich**

Portfolio:	Councillor Harris - Deputy leader and social housing
Report from:	Executive director of community services
Wards:	**Mancroft**
OPEN PUBLIC ITEM	

Purpose
To consider awarding a contract for the installation of a new district heating system at Barnards Yard, Norwich.

Recommendation:

To approve the award of a contract for the installation of a new district heating system at Barnards Yard, Norwich to J Tomlinson Limited, from 27 September 2021 to 31 March 2022. The contract is valued at £1,829,505.02.

Please note: as set out in the risk section of the report, officers are seeking further information regarding the risks associated with the project. If necessary, further information will be provided to Cabinet.

Policy Framework

The Council has three corporate priorities, which are:

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

This report meets the great neighbourhoods, housing and environment corporate priority.

This report addresses the good quality housing strategic action in the Corporate Plan.

This report helps to meet People living well adopted policy of the Council.

This report helps to meet the housing, regeneration, and development objective of the COVID-19 Recovery Plan.

Report Details

Identification of need

1. Investigations have taken place for the installation of a new ground source heat pump to replace the gas-powered plantroom at **Barnards Yard, Norwich, NR3 3DS** (a temporary solution following the disposal of Mary Chapman Court).

2. To determine that a ground source method utilising heat from water existing in boreholes would be suitable for Barnards Yard, trial core drilling was carried out at the site in June 2020. However, after further investigation, an alternative heat pump system utilising water as a renewable energy source which derives heat from the adjacent River Wensum, was found to be more viable. This report details the installation of the new system.

3. The new system will be a Water Source Heat Pump System (WSHP). WSHP systems are generally acknowledged to be more efficient than Ground or Air source devices as river temperatures are higher and more stable than ground or air temperatures and heat is transferred more efficiently from water.

4. Water will be removed from the Wensum (Abstraction) and pumped to a new plant room before it is returned to the Wensum (Discharged). A small amount of heat is taken from the abstracted water before it is discharged back into the river. At no point is the river water mixed with water to be used in the dwellings.

5. The new system will provide space and hot water heating to 85 dwellings from this renewable source. The previous fuel used to provide space heating and hot water was natural gas, a carbon generating fossil fuel. The new system will be electrically powered so no particulates will be created onsite by combustion. All electricity used on this development will be generated from a renewable source via our ESPO energy procurement.

6. The scheme will involve the removal of the existing temporary gas fired plant room located in the corner of the parking area within the courtyard.

7. It will be replaced with a permanent plant room constructed of brick with a double pitched tiled roof. The design and colour of materials will match the housing blocks at Barnards Yard.

8. This new plant room will house two custom built Titanium Heat Exchangers to extract the heat from the water 365 days a year strictly in line with the Environment Agency regulations. These will then feed five heat pumps which will work together to ensure balanced and monitored usage to maximise performance and life expectancy. The heat generated by the heat pumps will in turn heat water stored in buffer vessels within the plant room. This heated water will be pumped to each dwelling to provide space and hot water heating.
9. The existing original internal hot water and space heating pipework with radiators and associated plant will be stripped out (it was installed between 1976 -1982). All space heating and hot water pipework will be replaced. New larger radiators will be provided with individual temperature controls. Each dwelling will have its own individual combination Heat Interface Unit (HIU) that regulates space and hot water heating within each property. All communal pipework will be replaced and insulated to minimise heat loss.
10. A computerised Building Management System (BMS) will be installed in the new plant room. It will monitor the operation of the whole WSHP installation including the abstraction and discharge of water from the River Wensum in line with the EA requirements. It will include a remote monitoring dashboard to notify of any problems within the system and all data required to measure energy usage within the plant room and in each individual dwelling. This will enable energy usage to be accurately calculated and billed for each property.
11. This system is necessary to be able to calculate energy usage and the energy savings that will occur over the 20 years for which the Renewable Heat Incentive funding will be paid back to the council.
12. This system is also required to enable the council (as a Heat Network Operator) to comply with the new Heat Network (Metering and Billing) (Amendment) Regulations 2020.
13. The new plant room located within the car park area will have an impact on the existing car parking layout within Barnards Yard. The council have allocated funding for a separate scheme to rationalise the layout of car parking, planting and bin storage on the site. This scheme is not covered by this Cabinet Report. This scheme will be carried out in consultation with all stakeholders and funded using the Estate Aesthetics budget.

The benefits

14. This scheme has been awarded Non-Domestic Renewable Heat Incentive (NDRHI) funding via a TG:3 guarantee (tariff guarantee) already in place. The up-front capital costs of the scheme will be paid from the council's HRA Capital budget. The NDRHI will reimburse the council over a 20-year period. Minimum repayments are estimated at a total of £600,000 over the next 20 years, based on the energy savings calculated by the BMS system.

15. WSHP systems are generally acknowledged to be more efficient than Ground or Air source devices. This system is expected to produce 4.71Kw's of heat for every 1Kw of electricity purchased.

16. This scheme will provide significant reductions in CO2 emissions per annum. Compared to the existing gas fired system it is anticipated that annually 270 tonnes approx of carbon will **not** be emitted into the atmosphere. A mature tree can absorb up to 21kg of C02 per year. This equates to the work 12,857 fully grown trees would absorb every year. As one tonne of carbon has a volume of 556.2/m3 this scheme equates to almost 150,000 m3 of carbon reduction per annum.

17. This scheme involves the replacement of the existing basic mechanical controls. The existing systems are also poorly insulated. New installations within the dwellings will incorporate A-rated appliances with improved thermal insulation and efficient modern user controls.

18. There are no products of combustion or discharge of particulates into the courtyard area as the plant room will not require a flue outlet.

19. There are substantial savings on the cost of running the WSHP system when compared to the existing gas fired system. The existing gas system uses approximately £50,000 of gas per annum (calculated from utilities bills provided by NPSN). The new system powered by renewable electricity is expected to cost around £30,000 per annum (based on 19p per/Kwh electric). This equates to savings of approximately £20,000 per annum. For the 20-year duration of the NDRHI funding, this represents a saving on the cost of supplying energy of £400,000.

20. These savings will contribute towards the provision of affordable warmth and the alleviation of fuel poverty as running costs will be lower than at present.

21. The installation of a new metering and billing element will mean that residents can be accurately billed for the hot water and space heating that only they use.

22. The removal of water storage in dwellings will eliminate the need for inspections for the unvented cylinders, and reduces the risks associated with stored hot water such as contracting Legionnaire's disease and other associated conditions.

23. The Energy Performance Certificate will be improved by the ability to reduce energy consumption.

24. The single plant room used in a district heating system reduces maintenance as opposed to the use of 85 separate boilers within dwellings with all of the necessary visits, checks, repairs etc. associated with that type of system.

Procurement process

25. The procurement team have been working with NPS Norwich Ltd (NPSN) to look at the design and installation of the water source heat

pump at Barnards Yard, Norwich.

26. Initial views were that a ground source heat pump would be a solution. Procurement activity ensued and research into ground source heat pump frameworks identified a route available to the council via a specialist Fusion 21 Framework (Construction Works and Improvements framework – Lot 1A Housing internal and external refurbishment) as being able to provide a suitable supplier to carry out the works.

27. The framework allows a direct award and is compliant to Public Contract Regulations. The suppliers offering these services are accredited to the framework and have already been vetted and overall capability proven.

28. In January 2020, expressions of interest, via the Fusion 21 Framework, were invited for the two-stage project. In March 2020, Fusion 21 confirmed that the only framework supplier interested in the two-stage design and installation of this project was J Tomlinson Limited.

29. As described at Point 2 above, in June 2020 trial core drilling was carried out by J Tomlinson Limited and after further investigation the water source heat pump system was found to be more viable.

30. Through a compliant procurement process through the Fusion 21 framework, in March 2021, J Tomlinson Limited were awarded the contract to undertake the Stage 1 Pre-Construction Services Agreement to prepare the design and to secure the RHI funding. This also included significant involvement from the Environment Agency (EA), whose approval for the scheme was required, and a guaranteed Renewable Heat Incentive (RHI) tariff was secured.

31. The contract values of the trial core drilling process and Stage 1 of the project were not a key decision and Cabinet approval was not required.

32. The value of Stage 2 of the project however is a key decision and is the subject of this report.

33. On 21 July 2021, J Tomlinson Limited submitted their fully costed design proposal for the water source heat pump installation (Stage 2) as below:

1.	Works	£1,339,181.44
2.	Provisional sums and contingency	£118,000.00
3.	Preliminaries, Margin and Fusion 21 fees	£372,413.58
	OVERALL TOTAL	£1,829,595.02

34. A full evaluation of the proposal and costings submitted by J Tomlinson Limited was carried out by Fusion 21 and NPSN. It was concluded that the proposal provides the council with value for money and offers an exemplary solution for the replacement of the existing temporary gas heating system at Barnards Yard for the following key reasons:

- Fusion 21 confirms the Preliminaries and Margin elements align with those set out in the Framework and are compliant with the Framework terms and conditions.

- Fusion 21 agree that these costs be accepted by the council due to there being sufficient transparency in the open book approach to ensure value for money.

35. It should also be noted that J Tomlinson Limited have gained eight sustainability awards in the last three years for various schemes including energy efficiency projects with special commendations for large scale projects and RHI installations.

36. As they are the only supplier offering the services under the specialist Fusion 21 framework, we are recommending that J Tomlinson Limited be awarded the contract.

Consultation

37. Councillor Harris - Deputy leader and social housing has been briefed on the report.

38. Residents have received outline communication regarding the proposed scheme and access to a limited number of dwellings has been necessary to be able to fully design the scheme.

39. The process of designing the scheme has involved detailed discussion with the council's heads of service, housing officers, the home ownership team, procurement, planning department and finance.

40. Nplaw have also been consulted to clarify legal aspects of the scheme.

41. In addition, detailed consultation has taken place with the Environment Agency with regards to the design and for the obtaining of all permits and licences.

42. All those consulted have worked with NPSN and J Tomlinson Limited to complete the design proposal.

43. For Stage 1 J Tomlinson Limited entered into a JCT 16 Pre-Construction Services Agreement (PCSA) with the council via the Fusion 21 procurement framework. The PCSA covered all aspects of the investigation work, design, and the obtaining by J Tomlinson Ltd of all statutory permissions and approvals. This involved:

    - The submission of a pre-application to the Environment Agency for the installation of plant in the River Wensum. This outlined the scope of works and allowed the EA to assess the merits and the impact of the scheme on the River Wensum. The EA were positive and in agreement with the outline proposal.

- The submission of a full application for the scheme to the EA. The EA are responsible for the issuing of all licences and permits associated with the use of the River Wensum.

- Pre-consultation with the council's planning department and the submission of an application to the council for full planning permission for the scheme. This included the provision of reports by Arborists, Environmental Impact Assessment etc.

- The submission of an application for Building Regulations approval.

Implications

Financial and Resources

44. 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.

45. On 21 July 2021, J Tomlinson Limited submitted their Stage 2 fully costed design proposal for the WSHP installation at Barnards Yard at a cost of £1,829,595.02. The cost is summarized at point 33 above.

46. The existing 2021-2022 HRA capital budget for Central Heating Upgrades - Boilers Communal allocated £1.4m for the installation of the new district heating system which is insufficient for the costs submitted by J Tomlinson Limited. The budget was based on a previous design for the installation of a ground source heat pump system which involved the use of an array of approx. 40 boreholes. After detailed investigation this method was seen to be impractical. The alternative design using a WSHP was developed as detailed in this report. Unallocated budget in the Heating Upgrades - Boilers Communal budget approved from the existing HRA capital programme for 2021-22 will however allow the increased costs required to deliver the Barnards Yard installation to be funded.

47. The scheme has subsequently been awarded Non-Domestic Renewable Heat Incentive (NDRHI) funding via a TG:3 guarantee (tariff guarantee) already in place. The up-front capital costs of the scheme will be paid from the council's HRA Capital budget. The NDRHI will reimburse the council over a 20-year period. Minimum repayments are estimated at a total of £600,000 over the next 20 years, based on the energy savings calculated by the BMS system.

48. NPSN have calculated that the scheme does still represent value for money when the factors detailed below are taken into account.

49. The submitted cost breakdown has allowed for the substantial increase in prices (related to the supply of materials, labour and plant etc.) due to the demand in the construction industry because of national schemes starting up after the end of restrictions imposed by the Covid 19 pandemic and Brexit.

50. It is estimated that over the next 20 years a minimum £600k of the forecast cost of the installation will be recovered via the approved RHI funding agreement.

51. The total cost includes for the upgrading of all of the internal space and hot water heating systems within the dwellings. As these systems are now over 40 years old, the upgrades would have been included in a planned upgrades programme.

52. After a full evaluation of the design and costings, including a full breakdown of all summary lines as submitted by J Tomlinson Limited, Fusion 21 and NPSN conclude that the proposal submitted provides an exemplary and value for money solution for the replacement of the existing temporary gas heating system at Barnards Yard.

53. The contract is due to commence on 27 September 2021 and is due for completion by 31 March 2022. The completion date of 31 March 2022 is critical to enable the council to access the Renewable Heat Incentive funding. The works will be undertaken using the JCT Intermediate form of building contract.

Legal

54. This contract will be in compliance with the Public Contracts Regulations 2015.

Statutory Considerations

Consideration:	**Details of any implications and proposed measures to address:**
Equality and Diversity	Neutral
Health, Social and Economic Impact	The numerous benefits to health relating to Climate Change and the provision of a system that will be cheaper to run for tenants and leaseholders is outlined above.
Crime and Disorder	Neutral
Children and Adults Safeguarding	The supplier and all associated sub-contractors must adhere to the councils Safeguarding Policy statement.
Environmental Impact	This scheme is an innovative and ground-breaking scheme and is one of less than half a dozen taking place in the UK. Its impact on • climate change by the use of technology to de-carbonise

	• sustainability by the use of renewable energy • the significant reduction of pollution • the removal of a fossil fuel as an energy source • the reduction in heating bills are all outlined in this Cabinet Report

Risk Management

The risk table below describes the key risks. Officers are seeking further information regarding the risks associated with the project. If necessary, further information will be provided to Cabinet.

Risk	**Consequence**	**Controls Required**
Operational problems during the Construction Phase	Impact upon contractor. Impact upon tenants/leaseholders	J Tomlinson Limited are a multi award winning supplier of renewable solutions to various customers. They have a significant portfolio of successfully completed schemes for other Local Authorities. This scheme has been carefully designed in association with NPS Norwich Ltd and the council. A detailed construction phase programme is being developed to enable an effective delivery of this scheme. A Resident Liaison Officer will be on site during the scheme working with residents and providing essential communication throughout the construction phase. This scheme is a notifiable scheme with regards to the CDM regulations. A Construction Phase Plan will be put in place to manage health and safety during the works.
Financial Risk	Cost increases due to overruns, increase in	The total cost of the scheme includes an

	project costs, unforeseen costs arising etc.	allowance for Covid 19 and Brexit related issues. In addition, the total cost of the scheme includes contingency and provisional sums to mitigate as best as possible against unforeseen costs arising.
Compliance	Faulty or non-compliant installation that could affect the supply of hot water/space heating etc.	The scheme will be Contract Administrated by NPS Norwich Ltd. All installations will be carried out strictly in accordance with the provisions of the Building Regulations, planning permission etc. Regular site meetings will take place to ensure that service is maintained at all times.
Security	Risk to residents and their possessions during the works. Risk to contractor/sub-contractors and plant/materials etc. during the works.	Security will be a significant component in forming the CDM Construction Phase Plan to ensure that the consequences detailed are mitigated.
Legal	Non-compliance with legislation could result in a sub-standard installation. In addition, legal non-compliance may result in delays.	Nplaw have been consulted regarding the proposed scheme. All works will be compliant with current construction/ planning regulations.
Political, Reputational	The installation of a sub-standard, poorly executed installation that has a negative impact on residents would be detrimental politically and reputationally to the council.	As detailed above this scheme has been carefully and thoroughly planned, designed and procured. The contractor is a multi award winning supplier working in conjunction with NPS Norwich Ltd. All works will be carried out in accordance with construction, planning and Environment

		Agency recommendations.

Other Options Considered

Other heat options considered were:

55. **Do nothing:** The current gas-powered heating installation is a temporary solution, following the disposal of Mary Chapman Court. The current plantroom is of metal clad construction and has temporary planning permission. Planners have advised that an extension to the current permission is unlikely to be granted, therefore a permanent solution is required. The installation of permanent 'renewable' system was a condition of the planning consent. This option was not recommended.

56. **Installation of a Ground Source Heat Pump System Using Boreholes:** This method was investigated in June 2020 and, although viable, would prove to be very disruptive and the civil engineering works risks identified could not be mitigated through the design of the scheme. The number and spacing of the boreholes and the depth of core drilling (up to 100m deep) incorporated too much risk. The number of boreholes required to meet the required performance meant that boreholes would not be confined to the parking area. The impact on the site would be detrimental. In addition, the cost of this type of installation has been calculated by J Tomlinson Limited to substantially exceed £2 million pounds.

The procurement options considered were:

57. **Do nothing:** See point 56 above. This was not the recommended option.

58. **In house provision:** The council does not have any existing in-house resources. This was not the recommended option.

59. **Joint venture provision:** The works are not able to be delivered by the council's current joint ventures or partnerships at this time. This was not the recommended option.

60. **Identify a single supplier to award the contract to without competition:** This route would be contrary to Contract Procedures due to the contract value. This was not the recommended option.

61. **Utilise an existing framework:** Research into Ground Source Heat Pump frameworks identified a specialist framework via Fusion 21 as being able to provide a suitable supplier to carry out the works. These frameworks are quick and easy to use and are compliant to the Public Contract Regulations. The suppliers offering these services are accredited to the framework and have already been vetted and overall capability proven. Expressions of interest via the Fusion 21 framework resulted in J Tomlinson Limited being the only framework supplier interested in both the trial core drilling element and the overall project. **This was the recommended approach.**

62. **Establish competitively tendered contract with one supplier by running a competitive procurement exercise looking for a single supplier to meet the council's requirements:** The project included highly specialised works which had been identified within a suitable framework so was not required. Therefore, this was not the recommended option.

Reasons for the decision/recommendation

63. **'The benefits'** referred to in the **'Report Details'** above itemise the significant improvements that this scheme will bring to tenants and leaseholders.

64. It will mean improved energy efficiency and comfort within the dwellings. The use of electricity generated from a renewable source to provide hot water and space heating will reduce bills and contribute towards reducing fuel poverty. The new metering and billing system will mean that tenants pay for what they use with the new system providing a cheaper energy than natural gas.

65. This innovative and ambitious scheme will cause a substantial reduction in the release of CO2 into the atmosphere and will make a contribution towards the de-carbonisation of the council's assets.

Appendices:

Contact Officer:

Name: **Neil Watts - Major Works and Services Manager, NPS Norwich Ltd.**

Telephone number: **01603 227172**

Email address: **neil.watts@nps.co.uk**

NORWICH City Council

Item 14

Committee Name: Cabinet

Committee Date: 08/09/2021

Report Title: The extension of an awarded contract for warden call upgrades to sheltered housing schemes

Portfolio:	Councillor Harris - Deputy leader and social housing
Report from:	Executive director of community services
Wards:	**All Wards**
OPEN PUBLIC ITEM	

Purpose:

To consider an extension to an awarded contract for warden call upgrades to sheltered housing schemes

Recommendation:

To approve the extension of an awarded contract for warden call upgrades to sheltered housing schemes with M English Security Ltd

Policy Framework

The Council has three corporate priorities, which are:

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

This report meets the great neighbourhoods, housing and environment corporate priority.

This report addresses good quality housing strategic action in the Corporate Plan.

This report helps to meet People living well adopted policy of the Council.

This report helps to meet housing, regeneration and development objective of the COVID-19 Recovery Plan.

Report Details

Identification of need and background

1. The council operates 26 sheltered housing schemes across the city, all of which provide a warden call system to each resident. The system ensures that in the event of an emergency or unplanned event such as a fall, the resident can speak to a person at the council's alarm centre who will arrange appropriate help.

2. The existing system hardware (excluding that at St James House) had been in place for more than twenty years and the equipment had reached or exceeded the recommended life expectancy, so the systems required upgrading with new equipment and modern software. Each sheltered scheme had been placed in a programme, prioritised according to age of system and current reliability.

3. In June 2019, Cabinet agreed to award a contract to M English Security Ltd to undertake site installation works. The contract was valued at £700,000 for the whole programme and Cabinet specifically agreed to award the contract to 31 October 2021.

4. In March 2020, the programme was put on hold due to the Covid-19 outbreak. Works re-commenced in August 2020 but there have been, and still are, understandable challenges for M English Security Ltd in accessing dwellings due to the pandemic and as a result it has not been possible to complete the work to the originally scheduled deadline of 31 October 2021.

5. The Sheltered Housing Team Leader has advised that a good working relationship has been established with M English Security Ltd. This has enabled a very streamlined process for each scheme with minimal disruption to tenants taking place during the upgrade installation. M English Security Ltd are professional and understand the needs of our tenants who have said they have been treated with respect and are extremely happy with the engineers. As a result, it is considered that the best option is to extend the contract term to allow M English Security Ltd to finish the work.

6. Advice has been sought from NPLaw who have advised that although no further budget is being sought nor a change in supplier, the request for the extension requires cabinet approval as it is contrary to the original Cabinet decision agreed on 31 October 2021.

Procurement process and timeline

7. The contract award for the budget required to enable the remaining site installations up to 31 October 2021 was approved by Cabinet on 12 June 2019 (as at Point 3 above). The overall cost for the whole upgrade programme was estimated to be £700,000.

8. Out of the £700,000 award value, the actual cost of upgrades carried out by M English Security Ltd up to the upgrade at Harry Perry Close (due for completion in September 2021) is at £317,652.

9. The estimated value of outstanding schemes and upgrades to be completed is £345,000.00. The completion of this outstanding work will keep the council under the original £700,000 budget.

10. When Cabinet agreed to award the contract, it specifically agreed to do so up to 31 October 2021. Due to the complications as a result of Coronavirus (as set out above), it has not been possible to complete the work at this point. The original contract with M English Security Ltd allowed for the Council to extend the term of the contract and there is no requirement to formally re-tender the contract at this stage It is estimated the upgrades to be included in this contract will be concluded prior to **31 March 2025**.

11. M English Security Ltd have confirmed they have the capacity to carry out the remainder of the upgrades programme required to 31 March 2025.

Consultation

12. The Portfolio holder Councillor Harris – Deputy Leader and Social Housing has been briefed on this proposal. In addition, the process of designing and programming the Warden Call Upgrade scheme has involved detailed discussion with NCC Heads of Service, NCC Housing officers, NCC Procurement, NCC Finance and Electrical Engineers within the Major Works section within NPS Norwich Ltd.

13. This proposal is not subject to Leaseholder Consultation. There are no Leaseholders in Sheltered Housing accommodation.

Implications

Financial and Resources

14. 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.

15. The value of the total award remains at **£700,000** and no further budget is being sought for the variation of this contract. Out of the £700,000, £317,652 has currently been spent and the remaining works are estimated to be £345,000.

16. There are no proposals in this report that would reduce or increase resources.

Legal

17. This contract will be in compliance with the Public Contracts Regulations 2015.

Statutory Considerations

Consideration:	**Details of any implications and proposed measures to address:**
Equality and Diversity	Neutral
Health, Social and Economic Impact	There is a significant positive impact for tenants (both physically and mentally) to be able to rely on a Warden Call system that is efficient and reliable. It allows carers to react quickly in urgent situations and will at times be instrumental in saving lives or preventing injury. It provides the assurance that a call for assistance will be responded to quickly.
Crime and Disorder	Neutral
Children and Adults Safeguarding	The supplier and all associated sub-contractors must adhere to the councils Safeguarding Policy statement.
Environmental Impact	Neutral

Risk Management

Risk	**Consequence**	**Controls Required**
Operational	Slippage or non-delivery of the programme by M English Security Ltd.	A Senior Electrical Engineer in NPS Norwich Ltd. will act as the Contract Administrator for this scheme. This will involve regular update meetings, site visits and monitoring etc. M. English Security Ltd. have undertaken a substantial amount of upgrades to date and their performance has been excellent. They have stated that they have capacity to deliver the programme up until the end of the contract in 2025.
Financial	Additional costs	As above, cost control and expenditure will be carefully managed by NPSN Ltd.

Compliance	Non-compliance of installed systems.	The upgrades are designed to comply with current standards. Installation, inspections, and commissioning will be carried out by NPSN Ltd.
Security	Risk to residents and their possessions during the upgrade works.	The supplier and all associated sub-contractors must adhere to the councils Safeguarding Policy statement. Contractors and NPSN Ltd. will work closely with the Sheltered Housing Manager to ensure that clear communication takes place with tenants to provide assurance that security will be maintained at all times.
Legal	Non-compliance with legislation could result in a sub-standard installation. In addition, legal non-compliance may result in delays	NPLaw have been consulted regarding the proposed programme. All works will be compliant with current regulations and standards.
Professional and reputational	The installation of sub-standard, poorly executed installation of upgrades will have a negative impact on tenants and would be detrimental politically and reputationally to the council	As detailed above this programme has been carefully and thoroughly planned, designed and procured. The contractor has already completed part of the programme to a very high standard. The focus will be on maintaining these high standards for the duration of the contract.

Other Options Considered

Do nothing:

18. The current contract ends on 31 October 2021.

19. Warden call systems ensure that vulnerable adults have access to help when needed. It is essential to the wellbeing of our vulnerable tenants (especially in the light of increased anxiety due to the isolation caused by the Covid 19 Pandemic) that this Warden Call facility to access help is maintained with systems that are reliable and effective.

20. **Identify a new procurement route for a new supplier to provide the works from 01 November 2021:** The delays to the programme are not related to the performance of M English Security Ltd who have provided an excellent service to date and undertaken their role as supplier in a professional and efficient manner. The Covid 19 Pandemic has had an impact on service delivery. The procurement was competitively tendered in 2019 and M English Security Ltd represented the best value at that time.

Reasons for the decision/recommendation

21. The Council is being recommended to continue with M English Security Ltd.as the supplier of Warden Call Upgrades and that the contract be varied with a revised end date of 31 March 2025. The contract will continue to include clauses which allows the Council to vary the terms of the contract.

22. The **Report Details** above outline the high quality of service provided by M English Security Ltd. In addition, value for money is still achieved with maintaining the existing supplier.

Background papers: None

Appendices:

Contact Officer:

Name: **Neil Watts**
Major Works and Services Manager, NPS Norwich Ltd.

Telephone number:**01603 227172**

Email address: **neil.watts@nps.co.uk**