

## **Cabinet**

**Date:** Wednesday, 18 January 2017

**Time:** 17:30

**Venue:** Mancroft room, City Hall, St Peters Street, Norwich, NR2 1NH

### **Committee members:**

#### **Councillors:**

Waters (chair)  
Harris (vice chair)  
Bremner  
Kendrick  
Ryan  
Stonard  
Thomas (Va)

### **For further information please contact:**

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## **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

## AGENDA

**1. Apologies**

To receive apologies for absence

**2. Public questions/petitions**

To receive questions / petitions from the public (notice to be given to committee officer in advance of the meeting in accordance with appendix 1 of the council's constitution)

**3. 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)

**4. Minutes**

5 - 8

**Purpose** - To approve the accuracy of the minutes of the meeting held on December 14 2016.

**5. Corporate performance measures 2017-18**

9 - 18

**Purpose** - To consider the draft revised corporate performance measures 2017-2018

**6. Revenue budget monitoring 2016-17 – Period 8**

19 - 36

**Purpose** - To provide an update on the provisional financial position as at 30 November 2016, the forecast outturn for the year 2016-17, and the consequent forecast of the General Fund and Housing Revenue Account balances.

**7. Council tax reduction scheme 2017-18 Post consultation**

37 - 44

**Purpose** - To consider and recommend to council a council tax reduction scheme for 2017-18

**8. Risk management report**

45 - 70

**Purpose** - To provide an update on the review of key risks facing the council, and the associated mitigating actions, and the council's Risk

management policy.

- |            |   |           |
|------------|---|-----------|
| <b>9.</b>  | <b>Equality information report</b>  | 71 - 102  |
|            | <b>Purpose</b> - To consider the annual equality information report.  |           |
| <b>10.</b> | <b>Mutual exchange incentives – better outcomes for tenants</b>   | 103 - 114 |
|            | <b>Purpose</b> - This report proposes a change to the current mutual exchange incentive scheme that Norwich City Council currently offers in order to make it more cost-effective and targeted to help the most vulnerable. |           |
| <b>11.</b> | <b>Update to the private sector financial assistance policy</b>   | 115 - 122 |
|            | <b>Purpose</b> - To seek approval for an additional financial assistance package to be included in the council's existing private sector financial assistance policy for home repair, improvement and adaptation.           |           |
| <b>12.</b> | <b>Installation of sixty thermodynamic hot water systems</b>  | 123 - 128 |
|            | <b>Purpose</b> - To seek approval to award a contract for the installation of sixty thermodynamic hot water systems on council owned homes.   |           |
| <b>13.</b> | <b>Procurement of repairs to City Hall clock tower</b>  | 129 - 134 |
|            | <b>Purpose</b> - To consider the procurement process for the repairs to City Hall clock tower and to request approval to place the order  |           |
| <b>14.</b> | <b>Award of contracts for structural repairs to Council homes</b>   | 135 - 144 |
|            | <b>Purpose</b> - To consider the tender process for contracts for structural repairs and improvements to council homes and to consider the award of the contracts.  |           |
| <b>15.</b> | <b>Exclusion of the public</b>  |           |
|            | <b>Purpose</b> - 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.

### **\*16. Managing assets (housing)**

- This report is not for publication because it would disclose information relating to any individual as in para 1 of Schedule 12A to the Local Government Act 1972.
- 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. Review of the neighbourhood model and services phase three**

- This report is not for publication because it would disclose information relating to any individual as in para 1 of Schedule 12A to the Local Government Act 1972.
- 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, 10 January 2017**



**Cabinet**

**17:30 to 18:35**

**14 December 2016**

Present: Councillors Waters, Harris, Bremner, Kendrick, Ryan, Stonard, and Thomas (Va).

**1. Apologies**

No apologies for absence were received.

**2. Public questions / petitions**

There were no public questions or petitions.

**3. Declarations of interest**

No declarations were made.

**4. Minutes**

**RESOLVED** to agree the minutes of the meeting held on 16 November 2016.

**5. Quarter 2 2016 - 17 performance report**

The leader of the council presented the report.

**RESOLVED** to note progress against the corporate plan priorities.

**6. Revenue budget monitoring 2016-17: Period 7**

The cabinet member for resources and business liaison presented the report.

**RESOLVED** to note the financial position as at 31 October 2016 and the forecast outturn 2016/17.

## **7. Treasury management strategy statement and annual investment strategy Mid-year review report 2016-17**

The cabinet member for resources and business liaison presented the report.

**RESOLVED** to note the report and the treasury activity and the revised forecasts of outturn compared to the approved prudential indicators.

## **8. Counter Fraud Policies**

The cabinet member for resources and business liaison.

**RESOLVED:**

(1) to approve the revised counter fraud policies.

(2) that the leader would write a note of thanks to:

(a) the audit committee;

(b) Duncan Wilkinson, Neil Hunter and Jonathan Tully of LGSS

## **9. Declaration of West Earlham Woods as a Local Nature Reserve (LNR)**

The cabinet member for customer care and leisure presented the report, explaining that a communications strategy would include informing local people of what was happening. He added that the site would include new signage and a formal mountain bike trail.

The director of neighbourhoods explained that Marlpit Woods provided an excellent model which could be mirrored for West Earlham.

**RESOLVED** to approve the designation of the West Earlham Woods as Norwich's ninth Local Nature Reserve.

## **10. Award of contract for structural repairs to council homes**

The cabinet member for council housing presented the report.

**RESOLVED** to approve the award of the structural repair and improvement contract as follows:

Derby St Phase 3 & 4 – Structural repairs to external stairs and landings at Russell St, Clifton St, Napier Place, Old Palace Rd and Goodman Square

## **11. Award of event support services framework contract**

The leader of the council explained that this item would now be taken at the January cabinet meeting as further information was required from contractors.

## **12. Adjustment to Housing Capital Programme**

The cabinet member for resources and business liaison presented the report.

**RESOLVED** to approve the housing capital budget virements, set out in paragraphs 3-6.

## **13. Exclusion of the public**

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

## **\*14. Adjustment to Housing Capital Programme APPENDIX**

The cabinet member for resources and business liaison presented the report.

**RESOLVED** to note the exempt appendix in support of the recommendation to approve the virement of funds to the Goldsmith Street new build social housing budgets.

## **\*15. Appropriation of Land for Planning Purposes**

The cabinet member for environment and sustainable development presented the report.

**RESOLVED:**

- (1) in accordance with Section 122 of the Local Government Act 1972, to appropriate land at Exeter Street, Norwich for planning purposes, as defined in section 226 of the Town and Country Planning Act 1990, as it is no longer required for the housing use for which it is currently held; and,
- (2) to authorise the director of regeneration and development to use delegated powers to deal with all matters incidental to the appropriation.

CHAIR





**Report to** Cabinet  
18 January 2017  
**Report of** Strategy manager  
**Subject** Corporate performance measures 2017-18

**Item**

**5**

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**Purpose**

To consider the draft revised corporate performance measures 2017-2018

**Recommendation**

To recommend the draft corporate performance measures 2017-2018 to council for approval

**Corporate and service priorities**

This report relates to all corporate priorities

**Financial implications**

The costs of taking forward the corporate plan are built into the draft budget for 2017-18

**Ward/s:** All Wards

**Cabinet member:** Councillor Waters - Leader

**Contact officers**

Adam Clark, Strategy Manager

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**Background documents**

None

# Report

## Draft revised corporate performance measures 2017-18

1. The council's current corporate plan was adopted at a meeting of full council on 17 February 2015. It covers the period 2015-2020. This was developed through a number of methods including:
  - a) Analysing information on levels of need in the city such as looking at demographics, strengths, opportunities, inequalities and challenges.
  - b) Assessing the current environment the council operates in, including the national and local economic climate and policy and legislation for local government.
  - c) Looking at the potential future factors that may impact on Norwich and the council e.g. economic, social, environmental etc.
  - d) Discussions with councillors including an all councillor workshop.
  - e) Specific discussions with partner organisations
  - f) Assessing the future resourcing likely to be available to deliver a new corporate plan.
  - g) Formal review by scrutiny and cabinet.
2. The corporate plan covers the period 2015 - 2020. The current vision and mission are as follows:
  - a) Vision: to make Norwich a fine city for all
  - b) Mission: to always put the city and its people first
3. The five corporate priorities remain:
  - a) A safe, clean and low carbon city
  - b) A prosperous and vibrant city
  - c) A fair city
  - d) A healthy city with good housing
  - e) Value for money services
4. As part of this process, 45 corporate performance measures were established to measure how well the council was progressing against these priorities, with targets established for the first three years of the plan. In line with good practice in corporate performance measurement, we have reviewed these performance measurements and the targets over the last few months.
5. The individual measures and performance data have been looked at by the relevant service areas with support from the corporate performance team in order to ensure

that the measures are effective and whether targets are still appropriate for the year 2017-18. Relevant portfolio holders have then been consulted on these.

6. It is proposed that the majority of the measures stay the same for 2017-18 in order to be able to compare performance with previous years. However, there are some individual measures that require some amendment:
  - a) Amending the mathematical basis for the calculation or using different data collection methods to ensure robustness or enhance statistical accuracy
  - b) Amending the target in light of previous performance
  - c) Deleting the measure
  - d) Adding a measure
7. The full list of proposed measures and targets for 2017-18 can be found in Appendix A. The key changes are as follows:
  - a) PVC3: Amend target to 4 year average
  - b) PVC4: Remove this measure as it does not relate exclusively to council performance
  - c) PVC5: Remove this measure as this has already been completed
  - d) PVC7: Amend the basis for the measure to 'Number of priority buildings on the 'at risk register' that have been saved from decay and dereliction through the intervention of the city council' and the target to 1 per annum
  - e) PVC9: Amend the basis for the measure to number of visitors at council events so it relates to council performance; change target to 12 month rolling target
  - f) SCL8: Amend the basis for the measure to '% of adults cycling at least 3x a week for utility purposes'; change target to 14%
  - g) SCL13: Add a new measure '% change in the number of cyclists counted at automatic count sites'; change target to 5% increase per annum
  - h) SCL11: Increase target from 75% to 85%
  - i) FAC2 : Amend the basis of the measure to '% of people who felt their wellbeing had been improved following receiving advice'
  - j) FAC5: Increase target to 165
  - k) FAC6: Amend the basis of the measure to '% of commissioned organisations who pay their staff the living wage for services delivered on behalf of NCC'

- l) HCH4: Amend the basis for the measure to 'Number of new council or other affordable homes completed on council land or which the council has financially contributed to'; increase the cumulative target to 200
  - m) HCH8: Increase the target to 83%
  - n) VFM2: Amend basis of measure to a balanced budget as opposed to aggregate savings
  - o) VFM3: Remove measure as insufficiently statistically robust
  - p) VFM4: Amend the target to 35%
  - q) VFM5: Increase target to 25%
8. The recommendation is to adopt these revised measures for the year 2017-18 to ensure that the indicators and targets remain an appropriate measure of council performance against corporate priorities.
9. It is also recommended that a more fundamental review of the corporate plan and performance measures is undertaken in 2017-2018 in order to reflect the wider context of changing local government finance. This should be undertaken through wider stakeholder and resident consultation to inform the corporate plan from 2018-19 and beyond.

## Integrated impact assessment



**NORWICH**  
City Council

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

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

### Report author to complete

|                                   |   |
|-----------------------------------|---|
| <b>Committee:</b>                 | Cabinet   |
| <b>Committee date:</b>            | 18 January 2017   |
| <b>Director / Head of service</b> | Strategy manager  |
| <b>Report subject:</b>            | Corporate performance measures 2017-18  |
| <b>Date assessed:</b>             | 3 January 2017  |
| <b>Description:</b>               | To recommend the draft corporate performance measures 2017-2018 to council for approval |

|  | Impact                              |                          |                          |   |
|--|-------------------------------------|--------------------------|--------------------------|---|
| Economic<br>(please add an 'x' as appropriate)                             | Neutral                             | Positive                 | Negative                 | Comments  |
| Finance (value for money)  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Individual measures have been developed by heads of service alongside service and budget planning processes to ensure targets are aligned to resource |
| Other departments and services<br>e.g. office facilities, customer contact | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |
| ICT services   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |
| Economic development   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |
| Financial inclusion  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |
|  |                                     |                          |                          |   |
| Social<br>(please add an 'x' as appropriate)                               | Neutral                             | Positive                 | Negative                 | Comments  |
| Safeguarding children and adults   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |
| <u>S17 crime and disorder act 1998</u>                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |
| Human Rights Act 1998  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |
| Health and well being  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |   |
|  |                                     |                          |                          |   |

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

| Recommendations from impact assessment   |  |
|--|--|
| Positive   |  |
|  |  |
| Negative   |  |
|  |  |
| Neutral  |  |
|  |  |
| Issues   |  |
| <p>The longer term corporate plan review recommended in this paper will potentially have a negative impact on a range of issues including finance, equalities, financial inclusion and risk management. Anticipating these should be included in the initial scoping of this work to optimise opportunities to mitigate adverse impacts.</p> |  |



### Corporate performance measures 2017-18

For each of the key performance measures the council sets targets it aims to achieve. These are set out in detail in service plans and progress is reported on these to as part of the quarterly performance report. Specific measures and targets beyond 2017/18 will be developed as part of the review of the corporate plan in 2017/18.

| Key performance measure  | Prefix | 2017/18 Target |
|--|--------|----------------|
| <b>Council priority: Safe, clean and low carbon</b>  |        |                |
| % of streets found clean on inspection   | SCL1   | 94%            |
| % of people satisfied with waste collection  | SCL2   | 85%            |
| % of people feeling safe   | SCL3   | 78%            |
| Residual household waste per household (kg)  | SCL4   | 375            |
| % of food businesses achieving safety compliance   | SCL5   | 90%            |
| % of residential homes on a 20mph street   | SCL6   | 45%            |
| Number of accident casualties on Norwich roads   | SCL7   | <400           |
| % of adults cycling at least 3x a week for utility purposes  | SCL8   | 14%            |
| % change in the number of cyclists counted at automatic count sites  | SCL13  | 5% increase    |
| CO2 emissions for the local area   | SCL9   | 2.4%           |
| CO2 emissions from local authority operations  | SCL10  | 2.2%           |
| % of people satisfied with parks and open spaces   | SCL11  | 85%            |
| % of people satisfied with their local environment   | SCL12  | 80%            |
| <b>Council priority: Prosperous and vibrant city</b>   |        |                |
| Number of new jobs created/ supported by council funded activity   | PVC1   | 300            |
| Delivery of the Councils capital programme   | PVC2   | 80%            |
| Amount of funding secured by the council for regeneration activity (4 year rolling average)  | PVC3   | £2m p/a        |
| Planning service quality measure   | PVC6   | tbc            |
| Number of priority buildings on the 'at risk register' that have been saved from decay and dereliction through the intervention of the city council. | PVC7   | 1 p/a          |
| % of people satisfied with leisure and cultural facilities   | PVC8   | 95%            |
| Amount of visitors at council ran events   | PVC9   | 85,200 p/a     |

| Key performance measure   | Prefix | 2017/18 Target               |
|---|--------|------------------------------|
| <b>Council priority: Fair city</b>  |        |                              |
| Delivery of the reducing inequalities action plan   | FAC1   | 100% on target p/a           |
| % of people who felt their wellbeing had been improved following receiving advice   | FAC2   | 86%                          |
| Delivery of the digital inclusion action plan   | FAC3   | 100%                         |
| Timely processing of benefits   | FAC4   | 100%                         |
| No of private sector homes where council activity improved energy efficiency  | FAC5   | 165                          |
| % of commissioned organisations who pay their staff the living wage for services delivered on behalf of NCC                   | FAC6   | 100%                         |
| <b>Council priority: Healthy city with good housing</b>   |        |                              |
| Delivery of the Healthy Norwich action plan   | HCH1   | 100% on target p/a           |
| Re-let times for council housing  | HCH2   | 16 days                      |
| Number of empty homes brought back into use   | HCH3   | 20                           |
| Number of new council or other affordable homes completed on council land or which the council has financially contributed to | HCH4   | 200 (15-18)                  |
| Preventing homelessness   | HCH5   | 60%                          |
| Percentage of people who feel that the work of the home improvement agency has enabled them to maintain independent living    | HCH6   | 90%                          |
| % of council properties meeting Norwich standard  | HCH7   | 97%                          |
| % of people satisfied with the housing service  | HCH8   | 83%                          |
| No of private sector homes made safe  | HCH9   | 100                          |
| <b>Council priority: Value for money services</b>   |        |                              |
| % of residents satisfied with the service they received from the council  | VFM1   | 93%                          |
| Council achieves savings target   | VFM2   | <£0 (balanced or underspend) |
| Avoidable Contact   | VFM4   | 35%                          |
| Channel Shift   | VFM5   | 25%                          |
| % of income owed to the council collected   | VFM6   | 95%                          |
| % of income generated by the council compared to expenditure  | VFM7   | 45.2%                        |
| % of customers satisfied with the opportunities to engage with the council  | VFM8   | 54%                          |
| Delivery of local democracy engagement plan   | VFM9   | Yes on target                |

**Report to** Cabinet

**Item**

**Report of** Chief finance officer

**Subject** Revenue budget monitoring 2016-17 – Period 8

**6**

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**Purpose**

To provide an update on the provisional financial position as at 30 November 2016, the forecast outturn for the year 2016-17, and the consequent forecast of the General Fund and Housing Revenue Account balances.

**Recommendation**

To note the financial position as at 30 November 2016 and the forecast outturn 2016-17.

**Corporate and service priorities**

The report helps to meet the corporate priority value for money services and the service plan priority to provide accurate, relevant and timely financial information.

**Financial implications**

The General Fund budget is forecast to underspend by £0.341m. The Housing Revenue Account budget is forecast to underspend by £3.322m.

**Ward/s:** All wards

**Cabinet member:** Councillor Stonard – Resources and business liaison

**Contact officers**

Justine Hartley, Chief finance officer  
Hannah Simpson, Group accountant

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01603 212561

**Background documents**

None

## Report

1. Council approved budgets for the 2016-17 financial year on 23 February 2016.
2. The attached appendices show the forecast outturn and year-to-date positions for the General Fund and the Housing Revenue Account:
  - [Appendix 1](#) shows the General Fund by Corporate Leadership Team responsibilities, and by Subjective Group
  - [Appendix 2](#) shows the Housing Revenue Account in (near) statutory format, and by Subjective Group
  - [Appendix 3](#) shows budget and expenditure for the year to date in graphical format

## General Fund

3. Budgets reported include the resources financing the Council's net budget requirement (which includes a contribution of £0.451m to reserve balances as allowed for in the Medium Term Financial Strategy) so that the net budget totals zero:

| <i>Item</i>                      | <i>Approved Budget<br/>£000s</i> |
|----------------------------------|----------------------------------|
| Net Budget Requirement           | 16,120                           |
| Non-Domestic Rates               | (4,870)                          |
| Revenue Support Grant            | (2,756)                          |
| Council Tax precept              | (8,494)                          |
| <b>Total General Fund budget</b> | <b>0</b>                         |

4. The General Fund has been forecast to underspend by **£0.341m** at year end compared to a forecast underspend last month of **£0.579m**. Key forecast variances from budget are set out below:

| <i>Forecast<br/>Outturn P7<br/>£000s</i> | <i>General Fund<br/>Service</i> | <i>Forecast<br/>Outturn<br/>P8 £000s</i> | <i>Commentary</i>  |
|--|---------------------------------|--|--|
| (288)                                    | Business Services               | (265)                                    | Additional grant income not yet allocated related expenditure (£177k) and movement in bad debt provision (£81k).   |
| 370                                      | Finance                         | 543                                      | Variance mainly due to: <ul style="list-style-type: none"><li>• reduction of £163k in forecast interest income from Housing Company as planned loan not yet made</li><li>• £192k reduction in expected interest income from investments</li><li>• £44k higher MRP charges than budgeted</li><li>• additional debit card charges of £60k</li><li>• £88k housing benefits audit repayment.</li></ul> |
| (146)                                    | Human Resources                 | (141)                                    | Vacant posts and current training spend less than budgeted.  |

| <b>Forecast<br/>Outturn P7<br/>£000s</b> | <b>General Fund<br/>Service</b>         | <b>Forecast<br/>Outturn<br/>P8 £000s</b> | <b>Commentary</b>   |
|--|---|--|---|
| (113)                                    | Strategy and<br>Programme<br>Management | (122)                                    | Vacant posts and higher than budgeted second homes income.  |
| (207)                                    | City<br>Development                     | (143)                                    | <p>Variance mainly due to:</p> <ul style="list-style-type: none"> <li>• rent reviews taking place on asset properties, increasing the forecast income</li> <li>• bus shelter income higher than budgeted</li> <li>• staff savings</li> </ul> <p>The overall movement from period 7 is due to a reduction in forecast income in relation to home improvements provided. Work is underway to review our financial assistance policy for home repair and increase uptake of the service.</p> |

5. The General Fund shows an underspend against budget to date of **£3.454m**. This underspend to date is made up of multiple debit and credit figures where various income and expenditure lines are ahead of or behind budget profile. Significant overspends and underspends to date are:

| <b>General Fund<br/>Service</b>           | <b>Variance<br/>To Date<br/>P8 £000s</b> | <b>Commentary</b>  |
|---|--|--|
| Business Services                         | (1,052)                                  | <ul style="list-style-type: none"> <li>• (£585k) relating to additional government grants received and other grants received ahead of profile or related expenditure.</li> <li>• (£392k) behind profile on contingency budget to date.</li> <li>• Remainder due to timing differences on income and expenditure against the budget profile.</li> </ul>   |
| Finance                                   | (505)                                    | Variance between profiled and actual housing benefit expenditure and subsidy payments.   |
| Procurement and<br>Service<br>Improvement | 251                                      | In-years savings yet to be adjusted in contract invoices.  |
| Customer Contact                          | (266)                                    | Timing mismatch between Transformation Challenge grant funding received and related expenditure being incurred.  |
| City Development                          | (1,092)                                  | <p>Current underspend mainly due to:</p> <ul style="list-style-type: none"> <li>• income from bus lane enforcement and on-street yet to be paid over to County;</li> <li>• Highways grant income received but not yet spent or returned (section 38);</li> <li>• bus shelter income received higher than budgeted for</li> <li>• general works on properties yet to be invoiced;</li> <li>• NPS invoices yet to received;</li> <li>• additional rental income above budget due to rent reviews;</li> <li>• additional grants and income from County not budgeted for.</li> </ul> |

## Housing Revenue Account

6. The budgets reported include a £16.3m use of HRA balances, so that the net budget totals zero:

| <i>Item</i>                   | <i>Approved Budget<br/>£000s</i> |
|-------------------------------|----------------------------------|
| Gross HRA Expenditure         | 60,372                           |
| Gross HRA Income              | (44,091)                         |
| Contribution from HRA Balance | (16,281)                         |
| <b>Total net HRA budget</b>   | <b>0</b>                         |

7. The Housing Revenue Account has been forecast to underspend by **£3.322m** at year end compared to a forecast underspend last month of **£3.092m**. Key forecast variances from budget are set out below:

| <i>Forecast<br/>Outturn<br/>P7<br/>£000s</i> | <i>HRA<br/>Division of<br/>Service</i> | <i>Forecast<br/>Outturn<br/>P8 £000s</i> | <i>Commentary</i>  |
|--|--|--|--|
| (2,824)                                      | Repairs and maintenance                | (2,685)                                  | <p>Overall variance reflects a reduction in forecast responsive repairs works (in line with recent years' outturns) and savings from renegotiated contracts. Key individual variances include:</p> <ul style="list-style-type: none"> <li>major/minor repairs forecast based on current activity levels (£900k);</li> <li>stair lift repairs forecast reflects reduced number of repairs (£80k);</li> <li>underspends on water testing (£30k) and lift and fire alarm maintenance (£41k) and water mains renewal (£50k);</li> <li>central heating servicing based on activity to date (£238k);</li> <li>asbestos removal estimate based on current activity (£150k);</li> <li>asphalt balconies major work covered under capital projects therefore less revenue expenditure required (£100k);</li> <li>fire prevention work carried out when identified rather than planned (£100k);</li> <li>no internal wall insulation planned for 2016 (£180k);</li> <li>estate repairs forecast based on reduced number of repairs (£115k) and reduced garage repairs (£60k)</li> <li>lower current spend on void properties (£200k) due to increase in number of properties eligible for capital whole house upgrades and higher than budgeted tenant contributions (£185k).</li> </ul> <p>The movement from P7 is mainly due to the cavity wall insulation budget now forecast to be fully spent, previously a £100k underspend.</p> |

| <b>Forecast<br/>Outturn<br/>P7<br/>£000s</b> | <b>HRA<br/>Division of<br/>Service</b> | <b>Forecast<br/>Outturn<br/>P8 £000s</b> | <b>Commentary</b>   |
|--|--|--|---|
| (212)  | General management                     | (237)                                    | Key variances include: <ul style="list-style-type: none"> <li>• vacant posts (£128k);</li> <li>• lower repairs and rates on area offices (£50k) due to changes in accommodation use;</li> <li>• reduced leave it tidy and decoration allowances (£38k);</li> <li>• forecast underspends on legal and banking costs (£35k).</li> </ul> |
| (15)   | Special Services                       | (273)                                    | District heating gas forecast adjusted to reflect lower expenditure to date this year.  |
| (222)  | Provision for bad debts                | (222)                                    | Forecast reflects Q2 bad debt provision calculation on outstanding rent arrears.  |
| 288  | Dwelling Rents                         | 285                                      | Rental income forecast to be lower than budget due to delays on new-build projects.   |
| (154)  | Service charges - general              | (135)                                    | Forecast updated to reflect new service charges which came into effect October 2016.  |

8. The Housing Revenue Account shows an underspend against budget to date of **£5.942m**. This underspend to date is made up of many debit and credit figures where various income and expenditure lines are ahead of or behind budget profile. Significant overspends and underspends to date are:

| <b>HRA Division of<br/>Service</b> | <b>Variance<br/>To Date P8<br/>£000s</b> | <b>Commentary</b>  |
|------------------------------------|--|--|
| Repairs and maintenance            | (3,049)                                  | These variances have arisen due to invoice delays which is usual for work of this nature. Also reflects overall reduced year-end forecast (see detail in previous table).  |
| General Management                 | (322)                                    | Reduced rates on area offices (£30k), government grant received ahead of profile (£50k) and staff vacancies. Remainder due to smaller profiling differences split over a number of cost centres.   |
| Special Services                   | (603)                                    | District heating gas and fuel oil costs less than profile (£298k). Sheltered housing gas and electricity costs also less than profile (£138k). Reduced sheltered alarm contract costs (£88k). Remainder due to small timing differences between actuals and profile. |
| Dwelling Rents                     | (1,749)                                  | Difference due to the weekly rental income running ahead of profile.   |
| Service charges - General          | (491)                                    | Annual leasehold service charges applied in October, but leasehold contribution to capital not processed until year end.   |

## Risks

9. A risk-based review based on the size and volatility of budgets has identified key budgets where inadequacy of monitoring and control systems could pose a significant threat to the council's overall financial position. These are shown in the following table.

| Key Risk Budgets                           | Budget<br>£000s | Current<br>Variance | Current<br>Var % | Current<br>RAG | Forecast<br>Variance | Forecast<br>Var % | Forecast<br>RAG |
|--|-----------------|---------------------|------------------|----------------|----------------------|-------------------|-----------------|
| Housing Benefit Payments & Subsidy         | -30             | -952                | 3122%            | RED            | 109                  | -358%             | RED             |
| HRA Repairs - Tenanted Properties          | 11,848          | -2,413              | -20%             | RED            | -2,203               | -19%              | RED             |
| HRA Repairs - Void Properties              | 2,639           | -443                | -17%             | RED            | -200                 | -8%               | RED             |
| Multi-Storey Car Parks                     | -1,442          | 263                 | -18%             | RED            | 87                   | -6%               | GREEN           |
| City Hall                                  | 1,067           | -112                | -10%             | RED            | -52                  | -5%               | GREEN           |
| HRA Rents - Estate Properties              | -59,223         | -1,799              | 3%               | AMBER          | 251                  | 0%                | GREEN           |
| Corporate Management including Contingency | -2,804          | -825                | 29%              | RED            | -235                 | 8%                | RED             |
| Private Sector Leasing Costs               | -286            | 77                  | -27%             | GREEN          | 67                   | -23%              | GREEN           |

10. The red/amber status of items in the "Forecast RAG" column is explained below.

| Key Risk Budgets                                      | Commentary   |
|---|--|
| Housing Benefit Payments and Subsidy                  | Variance to date due to timing differences between expenditure and subsidy receipts.<br><br>Year-end variance due to unbudgeted £88k housing benefits audit repayment.   |
| HRA Repairs - Tenanted Properties and Void Properties | In-year variance mainly due to lower than budgeted responsive repair demand to date and invoicing delays.<br><br>Year-end variance reflects a reduction in forecast responsive repairs works (in line with recent years' outturns) and savings from renegotiated contracts. Further detail provided in HRA variance table (point 7). |
| Multi-storey car parks                                | Reduced forecast income from new Rose Lane car.  |
| City Hall   | In-year variance mainly due to repairs and maintenance costs running behind profile (£102k).   |
| HRA Rents – Estate Properties                         | Variance to date due to the weekly rental income running ahead of profile. Year-end forecast variance is £251k and green rated.  |
| Corporate Management including contingency            | Due to higher grant income receipts than budgeted (£177k). Year to date variance also due to only £13k contingency spend up to period 8.   |

11. The 2016-17 budgets approved by Council were drawn up in the expectation of reduced resources as announced by the previous government. There are risks to the current and medium term financial position from:
- a) Further reductions in government grant – the localisation of Business Rates and of Council Tax reductions has increased the risks to the council's financial position arising from economic conditions and policy decisions. In



addition, recent Government announcements indicate that further reductions in Government funding are likely.

- b) Changes in policy – if further “empowerment” of local authorities is not matched by devolved resources
  - c) Delivery of savings – the budget incorporates both savings measures already in place, and those planned for implementation during the year. If these savings are not achievable in full, overspends will result. With appropriate approvals these may be mitigated through provision made in the corporate contingency, up to the level of that contingency
  - d) Identification of further savings – work is continuing on developing proposals for additional savings to bridge the medium-term budget gap. If these proposals fall short, or are not implemented fully and in a timely manner, further budget shortfalls will result.
12. Forecast outturns are estimates based on management assessments, formulae, and extrapolation. They may not adequately take account of variables such as:
- a) Bad Debts – budget reports show gross debt, i.e. invoices raised. While allowance has been made in the budget for non-collections, the current economic climate may have an adverse influence on our ability to collect money owed.
  - b) Seasonal Factors – if adverse weather conditions or a worsening economic climate depress levels of trade and leisure activities in the city, there may be a negative impact on parking and other income.
  - c) Housing Repairs and Improvements – the rate of spend on void properties, though closely managed, is heavily influenced by void turnaround, since transfers can create a chain of voids involving significant repair costs.

## Financial planning

- 13. Overall levels of overspend and underspend will have an ongoing impact on the budget for following years and the size and urgency of savings requirements.
- 14. Net overspends and underspends will be consolidated into the General Fund and Housing Revenue Account balances carried forward to 2017-18. These are reflected in periodic updates to the Medium Term Financial Strategy and Housing Revenue Account Business Plan.

## Impact on balances

- 15. The prudent minimum level of General Fund reserves has been assessed as £4.273m. The budgeted and forecast outturn's impact on the 2015-16 balance brought forward, is as follows:

| <i>Item</i>                                | <i>£000s</i>    |
|--|-----------------|
| Balance at 1 April 2016 (provisional)      | (12,147)        |
| Budgeted contribution to balances 2016-17  | (451)           |
| Forecast outturn 2016-17                   | (341)           |
| <b>= Forecast balance at 31 March 2017</b> | <b>(12,939)</b> |

16. The General Fund balance is therefore expected to continue to exceed the prudent minimum.
17. The Medium Term Financial Strategy assumes that the reserves are further built up in 2016-17 ahead of drawing them down in future years to offset known and anticipated grant reductions and ensure a balanced budget.
18. The prudent minimum level of HRA reserves has been assessed as £5.968m. The budgeted and forecast outturn's impact on the 2016-17 balance brought forward, is as follows:

| <i>Item</i>                                | <i>£000s</i>    |
|--|-----------------|
| Balance at 1 April 2016 (provisional)      | (26,190)        |
| Budgeted use of balances 2016-17           | 16,281          |
| Forecast outturn 2016-17                   | (3,322)         |
| <b>= Forecast balance at 31 March 2017</b> | <b>(13,231)</b> |

19. The Housing Revenue Account balance is therefore expected to continue to exceed the prudent minimum.
20. The HRA reserve balance will continue to be used to fund capital expenditure in 2016-17 and 2017-18. This will bring resources down closer to the recommended minimum balance and reduce the requirement to borrow, which incurs greater costs.

## Collection fund

21. The Collection Fund is made up of three accounts – Council Tax, the Business Improvement District (BID) account, and National Non-Domestic Rates (NNDR).
  - Council Tax is shared between the city, the county, and the police and crime commissioner based on an estimated tax base and the council tax rates agreed by each of the preceptors. Any surplus or deficit is shared in the following financial year.
  - The BID account is operated on behalf of the BID company, to collect their income from the BID levy. Any surplus or deficit is passed on to the BID company.
  - NNDR income is shared between the city, the county, and central government. Since “localisation”, any surplus or deficit is also shared, rather than as formerly being borne wholly by the government.
22. There are particular risks attached to NNDR, which are:
  - Appeals – the impact of any appeals will fall on the Collection Fund, and therefore in part on the city. The Valuation Office has cleared a large number of appeals which has adversely affected the council's business rates income levels. However, a backlog of appeals remains and the value of the appeals is not known, nor the likelihood of success, nor the timing of the appeal being determined.
  - NNDR billable – changes in the NNDR billable, e.g. demolition or construction of new billable premises, will impact on the amount billable.

Assumptions of growth may also be affected by changes in the larger economic environment.

- NNDR collectable – arrears and write-offs (e.g. where a business goes into administration) will also impact on the Collection Fund.

23. These risks are monitored and mitigated through normal Revenues operations.

24. A summary of the Collection Fund is provided below:

| <i>Approved Budget<br/>£000s</i> | <i>Current Budget<br/>£000s</i> | <b>Collection Fund Summary</b>       | <i>Actual To Date<br/>£000s</i> | <i>Forecast Outturn<br/>£000s</i> | <i>Forecast Variance<br/>£000s</i> |
|----------------------------------|---------------------------------|--------------------------------------|---------------------------------|-----------------------------------|------------------------------------|
|                                  |                                 | <b>Council tax</b>                   |                                 |                                   |                                    |
| 59,380                           | 59,380                          | Expenditure                          | 41,368                          | 59,380                            | 0                                  |
| (59,380)                         | (59,380)                        | Income                               | 0                               | (59,380)                          | 0                                  |
|                                  |                                 | <b>Business Improvement District</b> |                                 |                                   |                                    |
| 656                              | 656                             | Expenditure                          | 618                             | 654                               | (2)                                |
| (656)                            | (656)                           | Income                               | (25)                            | (654)                             | 2                                  |
|                                  |                                 | <b>National Non-Domestic Rate</b>    |                                 |                                   |                                    |
| 79,138                           | 79,138                          | Expenditure                          | 51,176                          | 79,138                            | 0                                  |
| (79,138)                         | (79,138)                        | Income                               | 1,568                           | (79,138)                          | 0                                  |
| <b>0</b>                         | <b>0</b>                        | <b>Total Collection Fund</b>         | <b>94,705</b>                   | <b>0</b>                          | <b>0</b>                           |

25. On Council Tax, actual income is not posted from the council tax system into the finance system until year-end. The actual year-end surplus or deficit will be taken into account in considering distribution of balances between the preceptors (city, county, and police).
26. The council operates the BID account on behalf of the BID company, so no surplus or deficit will fall on the council's accounts.
27. Any deficit reported on the NNDR account will roll forward and be distributed in the 2017-18 budget cycle.
28. Additional (section 31) grant is received in the General Fund to offset all or part of any shortfall in business rate income due to additional reliefs granted by government. All such grant monies received are transferred to an earmarked reserve and held to be offset against deficits in the years that they impact on the revenue accounts.

## Integrated impact assessment



**NORWICH**  
City Council

### Report author to complete

|                         |  |
|-------------------------|--|
| <b>Committee:</b>       | Cabinet  |
| <b>Committee date:</b>  |  |
| <b>Head of service:</b> | Chief Finance Officer  |
| <b>Report subject:</b>  | Revenue Budget Monitoring 2016-17  |
| <b>Date assessed:</b>   | 22/12/16   |
| <b>Description:</b>     | This is the integrated impact assessment for the Revenue Budget Monitoring 2016-17 report to Cabinet |

|  | Impact                              |                                     |                          |   |
|--|-------------------------------------|-------------------------------------|--------------------------|---|
| Economic<br>(please add an 'x' as appropriate)                             | Neutral                             | Positive                            | Negative                 | Comments  |
| Finance (value for money)  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | The report shows that the council monitors its budgets, considers risks to achieving its budget objectives, reviews its balances position, and is therefore able to maintain its financial standing |
| Other departments and services<br>e.g. office facilities, customer contact | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| ICT services   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Economic development   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Financial inclusion  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Social<br>(please add an 'x' as appropriate)                               | Neutral                             | Positive                            | Negative                 | Comments  |
| Safeguarding children and adults   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| <u>S17 crime and disorder act 1998</u>                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Human Rights Act 1998  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Health and well being  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |

|  | Impact                              |                                     |                          |   |
|--|-------------------------------------|-------------------------------------|--------------------------|---|
| Equality and diversity<br>(please add an 'x' as appropriate) | Neutral                             | Positive                            | Negative                 | Comments  |
| Relations between groups<br>(cohesion)                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Eliminating discrimination and<br>harassment                 | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Advancing equality of opportunity                            | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Environmental<br>(please add an 'x' as appropriate)          | Neutral                             | Positive                            | Negative                 | Comments  |
| Transportation   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Natural and built environment                                | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Waste minimisation and resource<br>use                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Pollution  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Sustainable procurement                                      | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Energy and climate change                                    | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| (Please add an 'x' as appropriate)                           | Neutral                             | Positive                            | Negative                 | Comments  |
| Risk management  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | The report demonstrates that the council is aware of and monitors risks to the achievement of its financial strategy. |

| Recommendations from impact assessment   |
|--|
| <b>Positive</b>  |
| None   |
| <b>Negative</b>  |
| None   |
| <b>Neutral</b>   |
| None   |
| <b>Issues</b>  |
| The council should continue to monitor its budget performance in the context of the financial risk environment within which it operates. |

## Budget Monitoring Summary

Year: 2016-17

Period: 8 (November)

## GENERAL FUND SERVICE SUMMARY

| <i>Approved<br/>Budget</i>          | <i>Current<br/>Budget</i> |   | <i>Budget To<br/>Date</i> | <i>Actual To Date</i> | <i>Variance To<br/>Date</i> | <i>Forecast<br/>Outturn</i> | <i>Forecast<br/>Variance</i> |
|-------------------------------------|---------------------------|---|---------------------------|-----------------------|-----------------------------|-----------------------------|------------------------------|
| <b>Business Services</b>            |                           |   |                           |                       |                             |                             |                              |
| 1,800,982                           | 1,345,989                 | Business Relationship Management          | 266,760                   | (785,479)             | (1,052,239)                 | 1,080,584                   | (265,405)                    |
| 375,183                             | 386,720                   | Democratic Services                       | 701,978                   | 650,879               | (51,099)                    | 383,597                     | (3,123)                      |
| (18,720,042)                        | (18,720,042)              | Finance                                   | (5,872,598)               | (6,377,638)           | (505,040)                   | (18,176,937)                | 543,105                      |
| 0                                   | 0                         | Human Resources                           | 816,165                   | 794,297               | (21,868)                    | (140,681)                   | (140,681)                    |
| 0                                   | 0                         | Procurement and Service Improvement       | 1,897,892                 | 2,148,526             | 250,634                     | (61,831)                    | (61,831)                     |
| <b>(16,543,877)</b>                 | <b>(16,987,333)</b>       | <b>Total Business Services</b>            | <b>(2,189,803)</b>        | <b>(3,569,414)</b>    | <b>(1,379,611)</b>          | <b>(16,915,268)</b>         | <b>72,065</b>                |
| <b>Chief Executive</b>              |                           |   |                           |                       |                             |                             |                              |
| 0                                   | 0                         | Chief Executive                           | 170,657                   | 136,707               | (33,950)                    | (51,211)                    | (51,211)                     |
| 0                                   | (18,963)                  | Strategy and Programme Management         | 344,470                   | 234,058               | (110,412)                   | (140,558)                   | (121,595)                    |
| <b>0</b>                            | <b>(18,963)</b>           | <b>Total Chief Executive</b>              | <b>515,127</b>            | <b>370,765</b>        | <b>(144,362)</b>            | <b>(191,769)</b>            | <b>(172,806)</b>             |
| <b>Customers, Comms and Culture</b> |                           |   |                           |                       |                             |                             |                              |
| 2,209,128                           | 2,145,594                 | Communications and Culture                | 1,429,116                 | 1,480,578             | 51,462                      | 2,142,322                   | (3,272)                      |
| (60,851)                            | (645)                     | Customer Contact                          | 1,464,565                 | 1,198,673             | (265,892)                   | (25,224)                    | (24,579)                     |
| <b>2,148,277</b>                    | <b>2,144,949</b>          | <b>Total Customers, Comms and Culture</b> | <b>2,893,681</b>          | <b>2,679,251</b>      | <b>(214,430)</b>            | <b>2,117,098</b>            | <b>(27,851)</b>              |
| <b>Regeneration and Growth</b>      |                           |   |                           |                       |                             |                             |                              |
| (1,418,443)                         | (876,737)                 | City Development                          | (2,372,923)               | (3,464,948)           | (1,092,025)                 | (1,019,279)                 | (142,542)                    |
| 0                                   | 0                         | Environmental Strategy                    | 91,904                    | 79,163                | (12,741)                    | (29,375)                    | (29,375)                     |
| 0                                   | 0                         | Executive Head of Regeneration and        | 92,625                    | 86,519                | (6,106)                     | (8,215)                     | (8,215)                      |
| 1,326,678                           | 1,372,404                 | Planning                                  | 501,218                   | 466,131               | (35,087)                    | 1,429,381                   | 56,977                       |
| 258,661                             | 261,832                   | Property Services                         | 1,056,540                 | 826,445               | (230,095)                   | 233,906                     | (27,926)                     |
| <b>166,896</b>                      | <b>757,499</b>            | <b>Total Regeneration and Growth</b>      | <b>(630,636)</b>          | <b>(2,006,690)</b>    | <b>(1,376,054)</b>          | <b>606,419</b>              | <b>(151,080)</b>             |
| <b>Neighbourhoods</b>               |                           |   |                           |                       |                             |                             |                              |
| 9,789,981                           | 9,799,234                 | Citywide Services                         | 5,581,394                 | 5,357,930             | (223,464)                   | 9,700,358                   | (98,876)                     |
| 1,796,364                           | 1,692,616                 | Neighbourhood Housing                     | 654,117                   | 690,419               | 36,302                      | 1,749,852                   | 57,236                       |
| 2,642,359                           | 2,611,994                 | Neighbourhood Services                    | 1,661,150                 | 1,508,722             | (152,428)                   | 2,592,582                   | (19,412)                     |
| <b>14,228,703</b>                   | <b>14,103,844</b>         | <b>Total Neighbourhoods</b>               | <b>7,896,661</b>          | <b>7,557,071</b>      | <b>(339,590)</b>            | <b>14,042,792</b>           | <b>(61,052)</b>              |
| <b>0</b>                            | <b>(4)</b>                | <b>Total General Fund</b>                 | <b>8,485,030</b>          | <b>5,030,983</b>      | <b>(3,454,047)</b>          | <b>(340,728)</b>            | <b>(340,724)</b>             |



## Budget Monitoring Report

Year: 2016-17

Period: 8 (November)

**HOUSING REVENUE ACCOUNT STATUTORY SUMMARY**

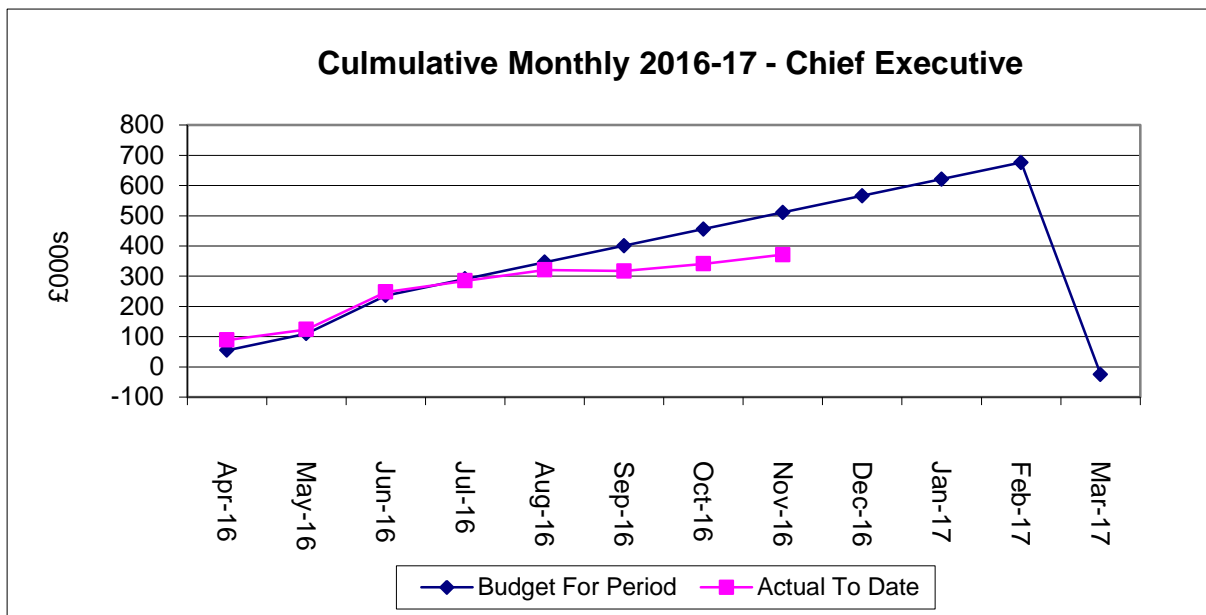
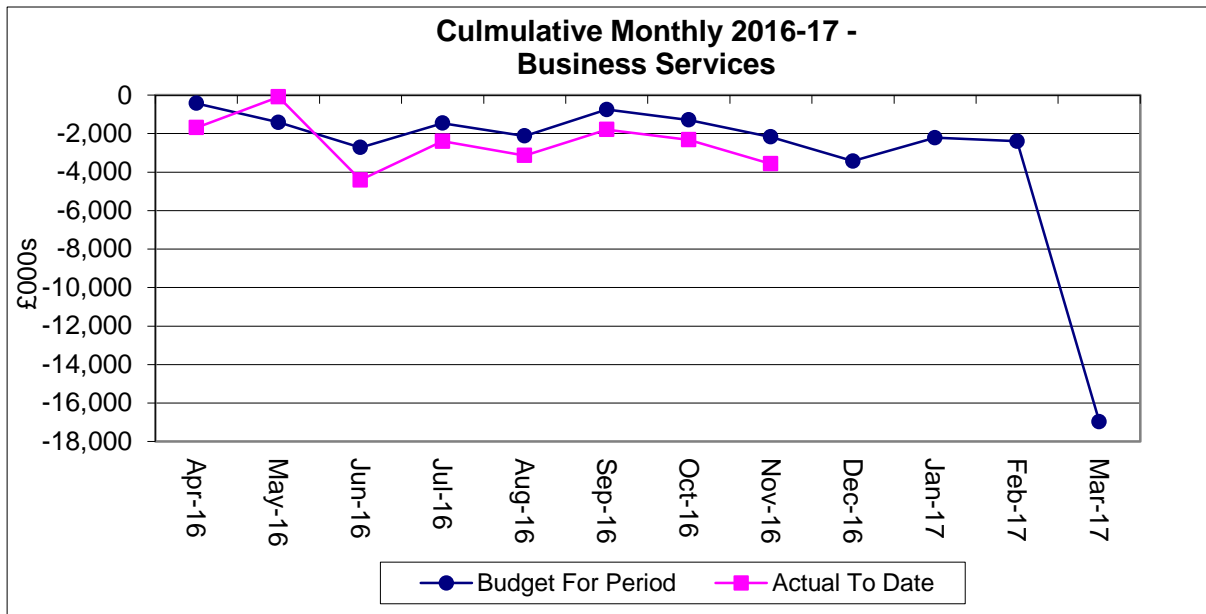
| <i>Approved<br/>Budget</i> | <i>Current<br/>Budget</i> |  | <i>Budget To<br/>Date</i> | <i>Actual To Date</i> | <i>Variance To<br/>Date</i> | <i>Forecast<br/>Outturn</i> | <i>Forecast<br/>Variance</i> |
|----------------------------|---------------------------|--|---------------------------|-----------------------|-----------------------------|-----------------------------|------------------------------|
| 15,499,378                 | 15,499,378                | Repairs and Maintenance                | 9,815,008                 | 6,766,487             | (3,048,521)                 | 12,813,891                  | (2,685,487)                  |
| 5,936,838                  | 5,936,838                 | Rents, Rates, and Other Property Costs | 5,714,100                 | 5,880,556             | 166,456                     | 5,953,789                   | 16,951                       |
| 11,392,777                 | 11,370,353                | General Management                     | 4,602,665                 | 4,280,311             | (322,354)                   | 11,133,648                  | (236,705)                    |
| 5,068,935                  | 5,091,359                 | Special Services                       | 3,009,141                 | 2,406,321             | (602,820)                   | 4,818,397                   | (272,962)                    |
| 22,139,594                 | 22,139,594                | Depreciation and Impairment            | 0                         | 32,695                | 32,695                      | 22,139,594                  | 0                            |
| 334,000                    | 334,000                   | Provision for Bad Debts                | 0                         | 0                     | 0                           | 111,603                     | (222,397)                    |
| (58,973,202)               | (58,973,202)              | Dwelling Rents                         | (39,315,472)              | (41,064,463)          | (1,748,991)                 | (58,688,391)                | 284,811                      |
| (2,223,564)                | (2,223,564)               | Garage and Other Property Rents        | (1,548,886)               | (1,510,536)           | 38,350                      | (2,206,467)                 | 17,097                       |
| (8,343,247)                | (8,343,244)               | Service Charges - General              | (6,016,310)               | (6,507,718)           | (491,408)                   | (8,478,675)                 | (135,431)                    |
| (75,000)                   | (75,000)                  | Miscellaneous Income                   | (50,000)                  | (63,634)              | (13,634)                    | (95,076)                    | (20,076)                     |
| 9,966,872                  | 9,966,872                 | Adjustments and Financing Items        | (146,950)                 | (98,800)              | 48,150                      | 9,899,220                   | (67,652)                     |
| (548,381)                  | (548,381)                 | Amenities shared by whole community    | 0                         | 0                     | 0                           | (548,381)                   | 0                            |
| (175,000)                  | (175,000)                 | Interest Received                      | 0                         | 0                     | 0                           | (175,000)                   | 0                            |
| <b>0</b>                   | <b>3</b>                  | <b>Total Housing Revenue Account</b>   | <b>(23,936,704)</b>       | <b>(29,878,780)</b>   | <b>(5,942,076)</b>          | <b>(3,321,849)</b>          | <b>(3,321,852)</b>           |

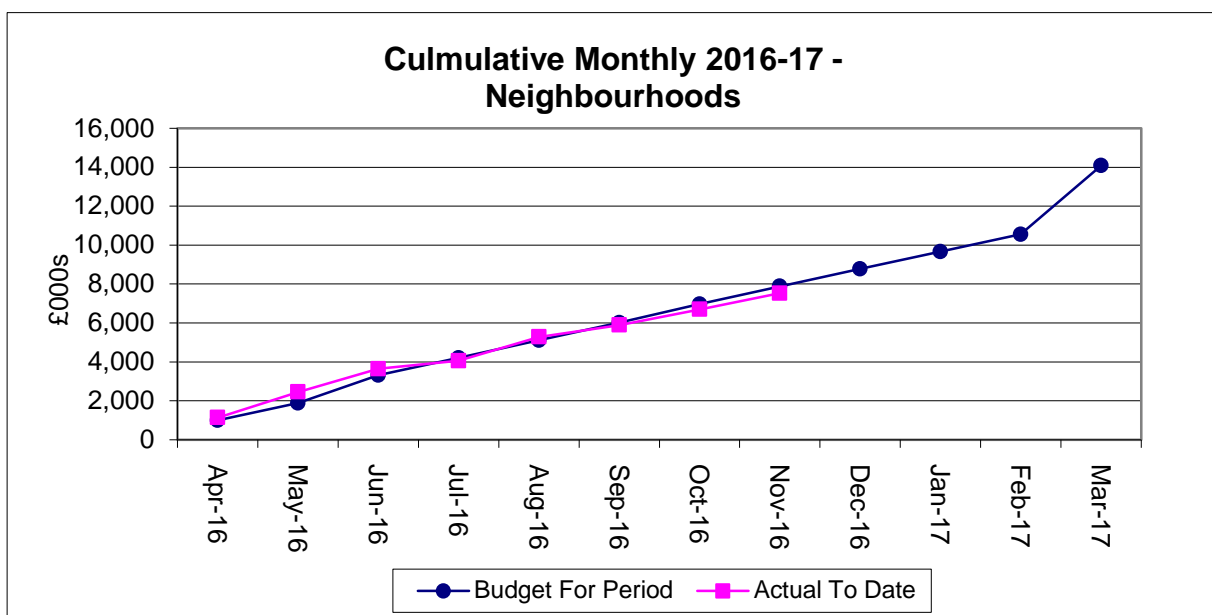
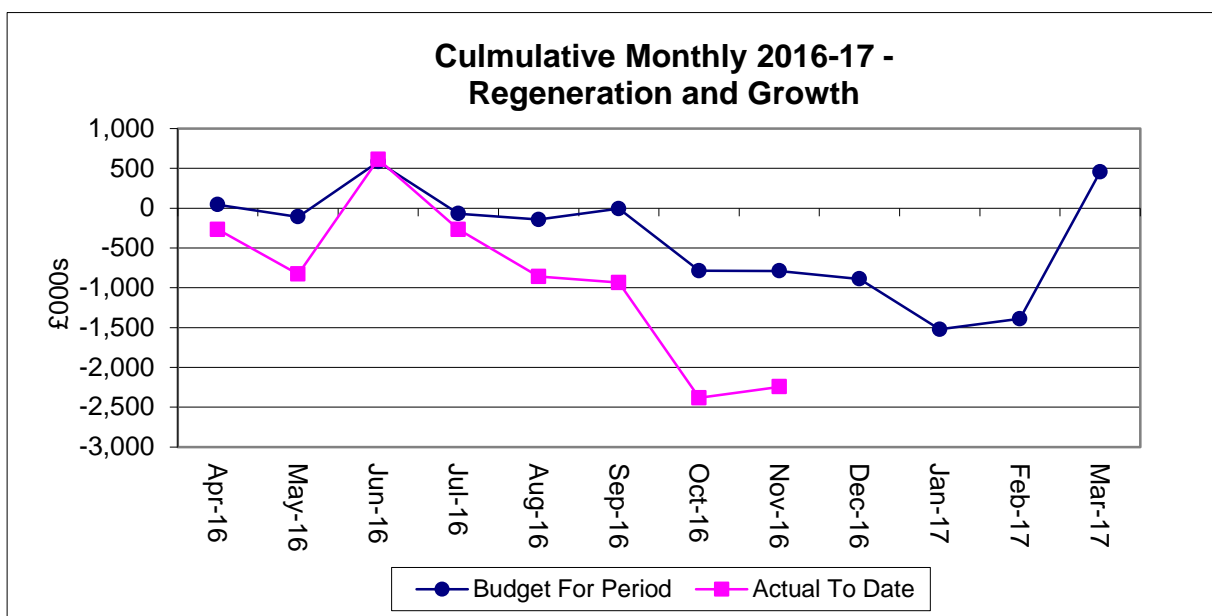
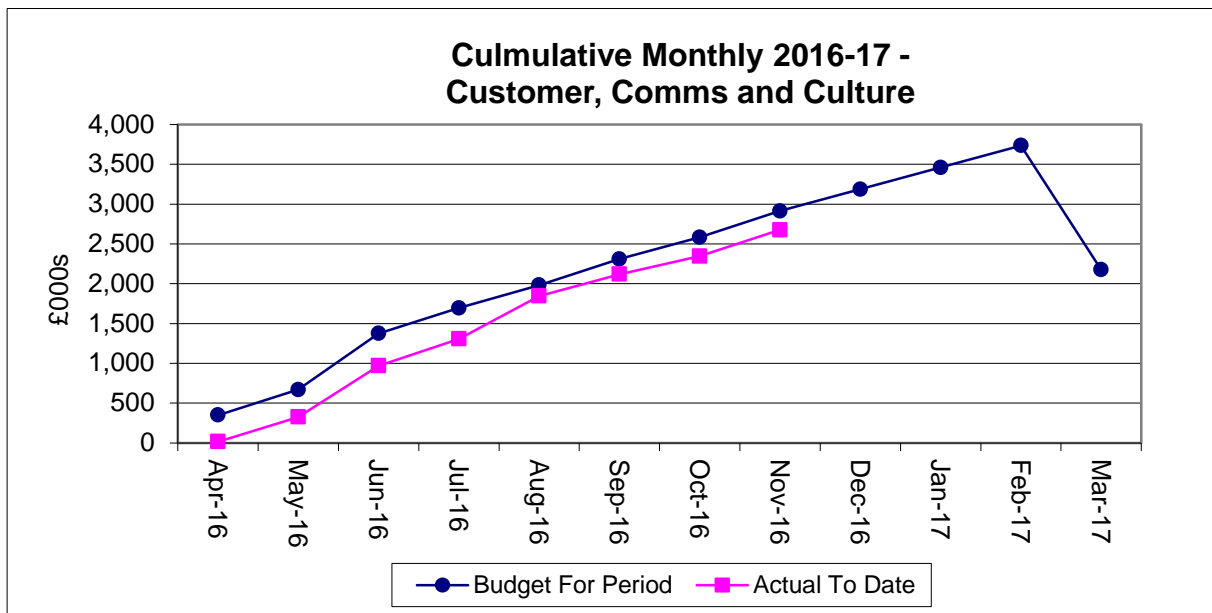
## Budget and Expenditure – Monthly by Service Graphs

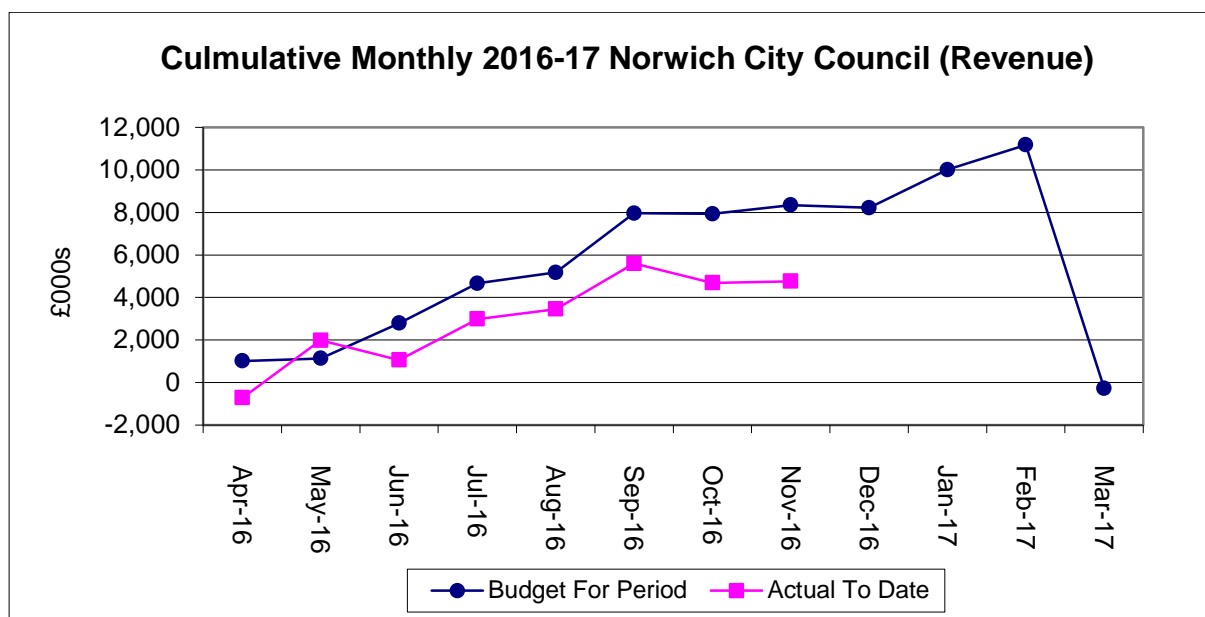
The following graphs show the monthly budget profile and income/expenditure to date for each service (both General Fund and Housing Revenue Account) for the financial year.

The actual income/expenditure reported is influenced by accrual provisions brought forward from the previous financial year, and by any delays in invoicing and/or payment.

Budgets are profiled to show the expected pattern of income and expenditure, and will be refined and improved during the course of the financial year.







**Report to** Cabinet  
18 January 2017  
**Report of** Director of business services  
**Subject** Council tax reduction scheme 2017-18  
(post consultation)

**Item**

**7**

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## **Purpose**

To consider and recommend to council a council tax reduction scheme for 2017-18

## **Recommendation**

To recommend council to make the following changes to the council tax reduction scheme (CTRS) for 2017-18 by continuing with the 2016-17 scheme with four modifications: that the:

- a) applicable amounts shall be uprated by the composite rate of council tax increase that excludes adult social care. Including in the scheme the principle of the uprating rather than the actual figure;
- b) provision of backdating shall be reduced from six to two months;
- c) eligibility of CTRS applicants shall be aligned with the housing benefit regulations for those temporarily living away from Great Britain; and,
- d) eligibility to CTR shall be aligned with the maximum six-month non- payment of Universal Credit, subject to being entitled to CTR during the period in question.

## **Corporate and service priorities**

The report helps to meet the corporate priority a fair city

## **Financial implications**

The proposed changes to the council tax reduction scheme are not anticipated to increase the costs of the scheme to the council overall. There will be increased costs from the uprating of the applicable amounts but these are expected to be offset by savings from the reduction in backdating.

**Ward/s:** All Wards

**Cabinet member:**

Councillor Stonard – Resources and business liaison

Councillor Thomas – Fairness and equality

**Contact officers**

|  |              |
|--|--------------|
| Tracy Woods Business, relationship and procurement manager | 01603 212140 |
|--|--------------|

|   |              |
|---|--------------|
| Anton Bull, director of business services | 01603 212326 |
|---|--------------|

**Background documents**

None

## Report

1. Since 1 April 2013 the council has operated a council tax reduction scheme (CTRS), which replaced council tax benefit.
2. There are currently approximately 16,647 recipients of CTR, of which 63% receive full entitlement.
3. As pensioners have been protected by the government any changes to CTRS will only impact working age claimants. Therefore the council can only control the cost of CTRS in relation to working age claims.
4. The council adopted the government's default CTRS in 2013, having made only minor technical changes since then. The government has been reducing its financial support to local authorities for the cost of the scheme therefore changes to the council tax discounts and exemptions have been made to try and address any shortfall.
5. There will be no revenue support grant to help cover the cost of the scheme from 2020-21. The reduction in the funding has already been incorporated into the MTFS.
6. The council tax reduction scheme cross party working group met on 12 September 2016 to review in detail options.
7. Recommendations from this cross party group were considered by cabinet on 12 October 2016.
8. The cabinet **RESOLVED** to
  - a. consult with the public and preceptors on the working groups recommendations for changes to the CTRS and discounts for 2017-18
  - b. delegate to the director of business services, in conjunction with the director of customers and culture, the final wording of the consultation questions.

### Consultation process for 2017-18 council tax reduction scheme

9. Schedule 1A of the Local Government Finance Act 1992 states :
  - (1) For each financial year, each billing authority must consider whether to revise its scheme or replace it with another scheme: and
  - (2) The authority must make any revision to its scheme, or any replacement scheme, no later than 31 January in the financial year preceding that for which the revision or replacement scheme is to have effect.
10. The budget consultation concluded on Sunday 8 January 2017, however full comments and analysis for the consultation was not available at the time of writing this report. A verbal update will be provided on the 18 January. However, from the raw data as below there is support for the proposed changes.

11. The results of the CTRS consultation questions asked to Thursday 22 December 2016 from 884 responses are:

QC1: Do you agree the council should continue to increase 'applicable amounts' for the scheme to protect those on low incomes?

**Yes – 61.61%** No – 24.97% Don't know – 13.43%

QC2: Do you agree we should allow a Universal Credit claimant to remain eligible for CTRS during a period when they are not receiving Universal Credit?

**Yes – 49.25%** No – 30.45% Don't know – 20.30%

QC3: Do you agree we should reduce the backdating of CTRS from six to two months?

**Yes – 55.67%** No – 24.81% Don't know – 19.52%

QC4: Do you agree we should change CTRS to match recent changes in housing benefit regulations for applicants temporarily living away from Great Britain?

**Yes – 59.65%** No – 17.29% Don't know – 23.06%

12. As preceptors Norfolk County Council and the Office of the Police and Crime commissioner have also been consulted on these proposed changes and no adverse comments have been received.



## Integrated impact assessment



**NORWICH**  
City Council

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

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

### Report author to complete

|                                   |   |
|-----------------------------------|---|
| <b>Committee:</b>                 | Cabinet   |
| <b>Committee date:</b>            | 18/01/2017  |
| <b>Director / Head of service</b> | Anton Bull Director of business services  |
| <b>Report subject:</b>            | Council tax reduction scheme 2017-18<br>(post consultation)                     |
| <b>Date assessed:</b>             | 19/12/2016  |
| <b>Description:</b>               | To consider and recommend to council a council tax reduction scheme for 2017-18 |

|   | Impact                              |                                     |                          |   |
|---|-------------------------------------|-------------------------------------|--------------------------|---|
| Economic<br>(please add an 'x' as appropriate)                                | Neutral                             | Positive                            | Negative                 | Comments  |
| Finance (value for money)   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | There is a negative impact in that continued protection of the 100% CTRS will not be fully funded by the reducing revenues support grant placing pressure on the council's budget. However a positive impact of maintaining the scheme is that the council won't be chasing a large number of small debts that would be difficult to recover. |
| Other departments and services<br>e.g. office facilities, customer<br>contact | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| ICT services  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Economic development  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Financial inclusion   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | 100% CTRS will protect financially vulnerable citizens  |
|   |                                     |                                     |                          |   |
| Social<br>(please add an 'x' as appropriate)                                  | Neutral                             | Positive                            | Negative                 | Comments  |
| Safeguarding children and adults  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| <u>S17 crime and disorder act 1998</u>  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Human Rights Act 1998   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Health and well being   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |

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

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

|  |  |  |  |  |
|--|--|--|--|--|
| Recommendations from impact assessment |  |  |  |  |
| Positive                               |  |  |  |  |
|  |  |  |  |  |
| Negative                               |  |  |  |  |
|  |  |  |  |  |
| Neutral                                |  |  |  |  |
|  |  |  |  |  |
| Issues                                 |  |  |  |  |
|  |  |  |  |  |

**Report to** Cabinet  
18 January 2017  
**Report of** Chief finance officer / Chief internal auditor, LGSS  
**Subject** Risk management report

**Item**

8

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**Purpose**

To provide an update on the review of key risks facing the council, and the associated mitigating actions, and the council's *Risk management policy*.

**Recommendation**

To approve the proposed amendments to the corporate risk register and risk management policy.

**Corporate and service priorities**

The report helps to meet the corporate priority "Value for money services".

**Financial implications**

None

**Ward/s:** All wards

**Cabinet member:** Councillor Stonard – Resources and Business Liaison

**Contact officers**

|  |              |
|--|--------------|
| Justine Hartley, Chief Finance Officer, LGSS   | 01603 212440 |
| Duncan Wilkinson, Chief Internal Auditor, LGSS | 01908 252089 |
| Jonathan Tully, Principal Audit Manager, LGSS  | 01603 212575 |

**Background documents**

None

# Report

## Background

1. Risk management is a fundamental aspect of the council's business practices. Cabinet has an executive role in the management of risks across the council in its role of ensuring the delivery of the council's priorities.
2. Audit committee provides independent assurance of the adequacy of the council's risk management framework and the associated control environment.
3. The Corporate Risk Register was previously reported to cabinet on 14 September 2016.

## Review of corporate risks

4. As required by the Risk Management Strategy, on 12 October 2016, the corporate leadership team (CLT) carried out its regular review of the key risks to achieving the council's priorities and has updated the Corporate Risk Register.
5. The updated risk register was reported to audit committee on 23 November 2016, where it was resolved to endorse and recommend to cabinet that it approves the proposed amendments to the corporate risk register and risk management policy.

## Corporate risk register

6. The updated risk register, with tracked changes marked, is attached at **appendix 1**.
7. The template for risk registers includes scoring for **inherent** risks (before any mitigating controls are considered) and **residual** risk (after taking account of key controls, which are listed). Any planned actions to further mitigate risks are also shown.
8. The council has a risk appetite which illustrates the level of risk it is willing to take. In exceptional circumstances it may not be possible, or proportionate, to implement controls that reduce the residual risk score within this appetite. In this instance the risk would be managed, and the aim would be to reduce this below the risk appetite. The maximum risk appetite score is set at 15, as a multiple of residual likelihood and residual impact. The Risk Management Policy states that "in exceptional circumstances cabinet can approve a residual risk in excess of the risk appetite if it is agreed that it is impractical or impossible to reduce the risk level below 16."
9. The residual risk score for risk B1, public sector funding, is 20 and remains above the council's risk appetite. This was approved by cabinet on 8 July 2015, and given the uncertainties around future grant and business rates income it is CLT's view that this should remain as a 'red' risk. Further details of these risks were included in the reports presented to the budget meeting of the council on 23 February 2016.
10. The residual risk score for risk A8, housing investment strategy, is 20 and remains above the council's risk appetite. This was approved by cabinet on 14 September 2016, reflecting the potential impact of legislative change and financial challenges. The risk was also considered as part of the overall Housing Revenue Account budget, which was presented and approved by cabinet on 3 February 2016.

11. Changes to the risk register include:

| Risk   | Description   |
|--|---|
| A3<br>Partnership and contract management                  | The Council has a number of key partnerships including LGSS, NPS Norwich, and nplaw. An existing key control includes reviewing the governance arrangements. The Council is undertaking a review, and the action plan has been updated to reflect this. The risk profile has not changed.   |
| A6<br>Joint core strategy                                  | Delivering a joint core strategy can be complex, due to the number of partners and the potential for conflicting priorities. This is not a new risk, but it is appropriate to recognise this cause, and the text has been amended. The risk profile has not changed.  |
| B1<br>Public sector funding<br><br>B2<br>Income generation | Funding cuts to county budgets, plus risks associated with 100% retention of business rates, have the potential to impact the Council. This is not a new risk, having been discussed previously, and the text has been amended to reflect this. The risk profile has not changed.   |
| C1<br>Emergency planning                                   | The Council delivers a complex range of services, and an emergency event could have a significant impact. It is good practice to test the robustness of business continuity plans. The action plan has been updated to provide assurance that an exercise will be undertaken in December 2016. The risk profile has not changed.  |
| C3<br>Information security                                 | The Council is committed to good information governance. New EU legislation is being introduced from May 2018 which increases the standards for information governance. It is unclear, following Brexit, whether UK will adopt this legislation. It is good practice to be prepared for potential legislative change, and the risk register has been updated to reflect this. The risk profile has not changed. |
| C5<br>Fraud and corruption                                 | The actions recognise that the Council has drafted three counter fraud policies, which are being consulted upon. This helps to mitigate the risk by ensuring that they reflect good practice. The risk profile has not changed.   |
| All risks  | A recent revision to the organisational structure has resulted in minor changes to job titles. It is important that risks are assigned ownership, so that they are managed. The owners of risks have been updated to reflect this.  |

## **Corporate residual risk map**

12. An updated risk map is included at **appendix 2** which shows the residual risk level for each of the risks. This gives a quick view of where each risk sits in relation to the council's risk appetite, i.e. there should be no risks with a residual score greater than 15, unless specifically approved by cabinet.
13. The residual risk score for B1 (public sector funding) and A8 (housing investment strategy) are above the council's level for risk appetite, and are red. All other residual risk scores are amber.

## **Risk management policy**

14. The Risk Management Strategy requires cabinet to review the Risk Management Policy on an annual basis.
15. CLT's review of the policy confirmed that it continues to provide the council with an effective approach to risk management and does not therefore require any updates.
16. The latest version of the policy is included at **appendix 3**.

## **Conclusion**

17. Risk management review processes are well embedded within the council, and members can be assured that the Corporate Risk Register is up to date following review by CLT of the key risks to achieving the council's objectives.
18. Each risk shows the owner and the key controls, both in place or planned, designed to minimise any impact on the council and its provision of services to stakeholders.
19. The Risk Management Strategy requires managers to keep all risks under review, and the Corporate Risk Register is updated accordingly.



## Integrated impact assessment



**NORWICH**  
City Council

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

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


### Report author to complete

|                         |  |
|-------------------------|--|
| <b>Committee:</b>       | Cabinet  |
| <b>Committee date:</b>  | 14 December 2016   |
| <b>Head of service:</b> | Chief finance officer  |
| <b>Report subject:</b>  | Risk management report   |
| <b>Date assessed:</b>   |  |
| <b>Description:</b>     | This report presents an update to the council's corporate risk register and risk management policy |

|  | Impact                              |                                     |                          |   |
|--|-------------------------------------|-------------------------------------|--------------------------|---|
| Economic<br>(please add an 'x' as appropriate)                             | Neutral                             | Positive                            | Negative                 | Comments  |
| Finance (value for money)  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Effective risk identification and management across all aspects of the council's business (eg policy setting; projects; partnerships) helps to minimise extra costs that may arise from unexpected events |
| Other departments and services<br>e.g. office facilities, customer contact | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| ICT services   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Economic development   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Financial inclusion  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Social<br>(please add an 'x' as appropriate)                               | Neutral                             | Positive                            | Negative                 | Comments  |
| Safeguarding children and adults   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Specifically referred to in the corporate risk register   |
| <u>S17 crime and disorder act 1998</u>                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Human Rights Act 1998  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Health and well being  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |

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

|  |                          |                                     |                          |   |
|--|--------------------------|-------------------------------------|--------------------------|---|
| <b>Risk management</b>   | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <p>The report provides assurance that the current corporate risk register and risk management policy are up to date and based on best practice.</p> <p>In practice, risk management has a positive impact on many of the above categories by contributing to the identification and mitigation of risks and the meeting of objectives</p> |
| <b>Recommendations from impact assessment</b>  |                          |                                     |                          |   |
| <b>Positive</b>  |                          |                                     |                          |   |
| <p>The application of effective risk management, in line with the updated policy, will contribute to the achievement of corporate and service objectives</p> |                          |                                     |                          |   |
| <b>Negative</b>  |                          |                                     |                          |   |
|  |                          |                                     |                          |   |
| <b>Neutral</b>   |                          |                                     |                          |   |
|  |                          |                                     |                          |   |
| <b>Issues</b>  |                          |                                     |                          |   |
|  |                          |                                     |                          |   |

|  |  |   |  |       |                    |            |               |             |   |               |        |             |  |                           |                      | <b>CORPORATE RISK REGISTER</b> |            |   |  |  |  | Version Date: November 2016 |  |  |
|--|--|---|--|-------|--------------------|------------|---------------|-------------|---|---------------|--------|-------------|--|---------------------------|----------------------|--------------------------------|------------|---|--|--|--|-----------------------------|--|--|
| Details of Risk  |  |   |  |       |                    |            | Inherent Risk |             |   | Residual Risk |        |             | Actions  |                           |                      |                                |            |   |  |  |  |                             |  |  |
| Risk No.   | Risk Description   | Caused by   | Effect   | Owner | Council Priorities | Likelihood | Impact        | Score & RAG | Key Controls  | Likelihood    | Impact | Score & RAG | Actions  | Owner                     | Target Date          | Revised Target Date            | Action RAG |   |  |  |  |                             |  |  |
| <b>CUSTOMER PERSPECTIVE</b>  |  |   |  |       |                    |            |               |             |   |               |        |             |  |                           |                      |                                |            |   |  |  |  |                             |  |  |
| A1   | Customer demand  | 1. Customer demand exceeds our capacity to deliver services as they are currently configured<br>2. Transfer of demand arising from service delivery changes or budget cuts by other public agencies<br>3. Excessive customer demand in key areas, particularly in relation to the need to cut services, or changes to policies e.g. council tax reduction scheme; universal credit  | 1. Unable to cope with demand<br>2. Complaints<br>3. Reputation damage<br>4. Increased homelessness risk to housing  | D-CC  | All                | 4          | 4             | 16 (R)      | 1. Proactive research on customer profile, forward planning, e.g. anticipating future events that will generate higher demand and use of data held to map and channel shift.<br>2. Data capture, consultation, survey and service planning.<br>3. Being robust about the role and responsibilities of Norwich City Council<br>4. Customer centre redesign<br>5. New 'self-serve' website including responsive forms, housing repairs diagnostics, customer portal, and full functionality on mobile devices   | 3             | 2      | 6 (A)       | 1. Customer service improvement plan for F2F service - Phase 1   | Head of customer services | Mar-17               |                                |            | G |  |  |  |                             |  |  |
| A2   | Delivery of the corporate plan and key supporting policies and strategies within the council's strategic framework | Corporate priorities are not on target to be delivered.<br>The council has a clear set of corporate priorities within its corporate plan. Within the council's wider strategic framework, there are a number of key corporate strategies and policies which must be delivered across the organisation to realise the council's priorities e.g. environmental strategy, housing strategy etc.<br>Policy from the new government will be further changing the framework for local government and put new requirements on the council that must be met in a number of different areas. When this is combined with the very significant savings the council will need to make to meet the government funding reductions, there is a risk that these changes will reduce the capacity of the council to deliver on its key corporate priorities. | 1. Key priorities for the city are not delivered<br>2. Adverse public opinion<br>3. Projects / work completed to a lower quality<br>4. Negative impact on outcomes for citizens<br>5. Negative performance ratings for the council<br>6. Continual over-stretching of capacity | CEO   | All                | 4          | 4             | 16 (R)      | 1. Regular review of corporate plan, medium term financial strategy and other key policies and strategies.<br>2. Effective performance and programme management<br>3. Corporate planning and service planning aligned with budget setting to ensure resources are in place to deliver priorities.<br>4. Effective preparation for changes in government policy.<br>5. Effective transformation programme to ensure savings are delivered. The balance between the corporate plan and resources available is anticipated to shift over the coming years bringing significant challenges for the Council. As a result the Council's Cabinet approved on June 8 2016 the initiation of a process to:<br>a) Work with partners in the public, private, voluntary and community sectors to develop a new city vision<br>b) Develop a revised corporate plan, priorities and performance measures which reflects the council's part in supporting that vision<br>c) Determine a new blue print or operating model to guide how the council works in future which reflects available resources | 3             | 4      | 12 (A)      | a) Work with partners in the public, private, voluntary and community sectors to develop a new city vision<br>b) Develop a revised corporate plan, priorities and performance measures which reflects the council's part in supporting that vision<br>c) Determine a new blue print or operating model to guide how the council works in future which reflects available resources | CEO                       | 01/10/2016<br>Feb-17 |                                |            | G |  |  |  |                             |  |  |

| Details of Risk |  |   |   |       |                    |            |        |             | Inherent Risk  |            |        | Residual Risk |   |       | Actions     |                     |            |  |  |
|-----------------|--|---|---|-------|--------------------|------------|--------|-------------|--|------------|--------|---------------|---|-------|-------------|---------------------|------------|--|--|
| Risk No.        | Risk Description   | Caused by   | Effect  | Owner | Council Priorities | Likelihood | Impact | Score & RAG | Key Controls   | Likelihood | Impact | Score & RAG   | Actions   | Owner | Target Date | Revised Target Date | Action RAG |  |  |
| A3              | <p>Relationship management with key service delivery partners and the management of contracts.</p> <p>The council has a number of key partnerships with LGSS, NPS Norwich, and NP Law. There is also a highways agency agreement with Norfolk County Council. This approach to service delivery requires a different managerial approach by the city council.</p> <p>The council also has a number of key contracts and partnerships which require strong, consistent procurement and client management.</p> | <p>1. Partnerships not managed effectively and key service outcomes not achieved.</p> <p>2. Contracts not managed effectively, and key service outcomes not achieved.</p> | <p>1. The council doesn't get value for money</p> <p>2. Benefits of partner and contract arrangements not realised</p> <p>3. Constant negotiation around the service delivery agreement</p> <p>4. Specification not adhered to</p> <p>5. Services not provided at an acceptable level</p> <p>6. Customer and staff complaints</p> | D-BS  | 5                  | 3          | 4      | 12 (A)      | <p>1. Governance structure is in place to manage the individual partnership agreements (e.g. NPS Norwich Board, LGSS liaison group, NP Law Board, all major contracts have strategic and operational governance arrangements with officer and member representation.</p> <p>2. In response to the council operating model training requirements have been reviewed and staffing structures refreshed to reflect this change.</p> <p>3. A contract and business relationship management toolkit has been deployed. This aims to create consistency of management of both financial and performance objectives and monitoring and management of all economic, social and environmental issues associated with the service.</p> <p>4. Internal audit periodically reviews arrangements to ensure that robust governance by client managers is in place for LGSS, nplaw, NPS Norwich, Norwich Norse (Environmental) and Norse Environmental Waste Service. <del>Reported to CLT in April 2015 – result was 'substantial' assurance opinion.</del></p> <p>5. Regular reviews of joint ventures.</p> | 2          | 4      | 8 (A)         | <p>Review of joint venture working currently underway</p> | D-BS  | Mar-17      |                     |            |  |  |

| Details of Risk |   |  |   |                           |                    |            |        |             | Inherent Risk   |            |        | Residual Risk |   |  | Actions      |   |            |  |  |
|-----------------|---|--|---|---------------------------|--------------------|------------|--------|-------------|---|------------|--------|---------------|---|--|--------------|---|------------|--|--|
| Risk No.        | Risk Description  | Caused by  | Effect  | Owner                     | Council Priorities | Likelihood | Impact | Score & RAG | Key Controls  | Likelihood | Impact | Score & RAG   | Actions   | Owner  | Target Date  | Revised Target Date   | Action RAG |  |  |
| A4              | Safeguarding children, vulnerable adults and equalities duties  | 1. Safeguarding and equalities duties and responsibilities not embedded throughout the council and its contractors/ commissioned services/ partners.<br>2. Continued change in council service delivery model with an increase in the number of partnership arrangements is likely to require new arrangements for the delivery of safeguarding and equalities duties.<br>3. Impact of cuts on care services and benefit funding.<br>4. Critical incident<br>5. Change in contractor/ commissioned service/partner<br>6. Reduced service provision<br>7. Not being able to attract staff with diverse abilities and backgrounds<br>8. Reviews of safeguarding at Norfolk County Council found a number of significant issues, which increases the risks for partner organisations  | 1. Vulnerable adults and children at greater risk of exclusion or harm<br>2. Individuals from a community of identity dealt with inappropriately and at risk of exclusion<br>3. Risk of judicial review on accessibility of services<br>4. Risk of damage to reputation if an employee discrimination claim is made based on equalities legislation<br>5. NCC's reliance on systems at Norfolk and impact on Norwich City Council if these are inadequate | D-N                       | All                | 3          | 4      | 12 (A)      | 1. Safeguarding policy & procedures in place and reviewed annually through safeguarding group.<br>2. Safeguarding duties included in new contracts to ensure duties are embedded with new contractors. Where appropriate, joint training/awareness sessions are held.<br>3. Equalities duties overseen by BMG<br>4. A contract and business relationship management toolkit has been deployed. This aims to create consistency of management of both financial and performance objectives and monitoring and management of all economic, social and environmental issues associated with the service and particularly in relation to safeguarding<br>5. Equality training for all staff and managers<br>6. Mental health awareness training for employees<br>7. Safeguarding training provided to all staff.<br>8. Safeguarding guidance provided to all councillors<br>9. External review of the council's approach through the annual self-assessment against Sec.11 of Children Act 2014, then challenge session with chair of Norfolk Safeguarding Children Board (NSCB).<br>10. NCC plays full part in Norfolk Public Protection Forum<br>11. NCC chief executive chairs Community Safety Partnership linking to domestic abuse across the county<br>12. Constantly monitoring outcomes from serious case reviews (children adult and domestic abuse) and ensure any recommendations are actioned. | 2          | 4      | 8 (A)         | 1. Work is continuing with contract managers to ensure monitoring and annual reporting of cross cutting themes including safeguarding and equalities is undertaken consistently with contractors.<br>2. Refresher workshop style training developed and provided for all relevant staff ;<br>3. New e-learning module developed for all staff to ensure learning is -relevant to job roles and reflects emerging safeguarding issues and priorities for Sec 11 of the Children Act 2014 and the roll out of a revised safeguarding policy and procedures. | Head-of-local-neighbourhood-services D-N<br><br>Head-of-local-neighbourhood-services D-N | From 'Jul-14 | Complete for 'Platinum' contractors; currently-reviewing- 'Gold' contractors to be completed by March 2017. Workshops completed March 2016 and will be provided on a rolling basis. | G          |  |  |
| A6              | Delivery of Joint Core Strategy (JCS). The council, through the Greater Norwich Growth Board, is seeking to promote delivery of the JCS. If delivered, JCS will see more than 30,000 homes built in the greater Norwich area, and 35,000+ jobs created over next 15 years | Delivery of the JCS may be jeopardised by:<br>1. Markets failing to deliver on preferred development sites identified for housing<br>2. Changing approaches to calculating housing land supply to require all the backlog in housing supply that has arisen since 2008 to be met in the next five-year period rather than over the remainder of the plan period of the JCS (i.e. up to 2026).<br>3. Failure to deliver the infrastructure required to support development<br>4. The council increasingly relies on income from NNDR (business rates). This may be at risk if other councils allow commercial developments on the edge of the city but outside the boundary or the number of commercial premises in the City reduce.<br>5. Partners across the Greater Norwich area not working effectively together because of conflicting priorities. | 1. Reputation damage<br><br>2. Significant likelihood that the overall development strategy for the Greater Norwich area will not be delivered  | Head of planning services | 2 & 4              | 3          | 4      | 12 (A)      | 1. Ensuring that strategies being prepared with GNGB colleagues are as robust as possible and firmly grounded in reliable evidence.<br><br>2. Inter-authority working based on consensus decision-making ensures all parties are in agreement with the agreed policy framework.<br><br>3. All policy work is supported by comprehensive and up-to-date evidence in accordance with government guidelines.<br><br>4. Greater Norwich Growth Board responsible for ensuring funding is available for investment in infrastructure to support growth.  | 3          | 3      | 9 (A)         |   |  |              |   |            |  |  |

| Details of Risk |  |  |   |       |                    |            |        |             | Inherent Risk  |            |        | Residual Risk |                                |            | Actions                              |                     |            |  |  |
|-----------------|--|--|---|-------|--------------------|------------|--------|-------------|--|------------|--------|---------------|--------------------------------|------------|--------------------------------------|---------------------|------------|--|--|
| Risk No.        | Risk Description   | Caused by  | Effect  | Owner | Council Priorities | Likelihood | Impact | Score & RAG | Key Controls   | Likelihood | Impact | Score & RAG   | Actions                        | Owner      | Target Date                          | Revised Target Date | Action RAG |  |  |
| A8              | Housing Investment Strategy<br>As part of the reform of the HRA the council has taken on a substantial debt to replace the former negative housing subsidy system. This debt is currently planned to be repaid over a period not exceeding 30 years. In addition to debt repayments the council has adopted a new standard for investment in the housing stock and a commitment to fund a new build programme. However, recent developments in welfare and housing legislation require rent reductions and the prospect of paying an annual determination which will impact significantly on the levels of funding available for stock investment and improvement. | 1. Reduction in rental income arising from:<br>• compulsory 1% reduction in social housing rent for next four years wef April 2016<br>• higher level of council house sales due to improved incentives<br>• increasing debt or other factors<br><br>2. Impact of determination to fund RTB for Registered Providers<br><br>3. Significant increase in the cost of delivering improvement works<br><br>4. Failure to deliver by contractors | 1. Failure to deliver the Norwich Standard within the expected timescale<br><br>2. Lack of resources to be able to maintain the Norwich Standard.<br><br>3. Lack of resources to support a new build programme.<br><br>4. Requirement to sell off stock to fund determination<br><br>5. Reduced tenant satisfaction<br><br>6. Need to reprogramme the housing investment plan | D-N   | 4                  | 5          | 5      | 25 (R)      | 1. Regular review of HRA business plan and housing investment plan to reflect financial position of the HRA. In particular we await indicative figures for the annual determination which is likely to require further reworking of the HRA business plan and changes to planned levels of spend.<br><br>2. <del>The main control will be the</del> timescale for delivering the Norwich Standard to all properties and the level of spend on the routine maintenance / replacement programme together with the delivery of any agreed new build programme.<br><br>3. Regular review of key projects.<br><br>4. Effective contract management<br><br>5. Work with Registered Providers to maximise use of retained Right to Buy receipts for the development of new social housing where spend by the Council is not possible. | 5          | 4      | 20 (R)        | Review housing investment plan | D-N<br>CFO | <del>Feb-16</del><br><b>'Feb-17'</b> | Nov-16              | G          |  |  |



| Details of Risk       |                       |  |   |       |                    |            |        |             |  |            |        |             |         |       |             |                     | Inherent Risk |  |  | Residual Risk |  |  | Actions |  |  |  |  |
|-----------------------|-----------------------|--|---|-------|--------------------|------------|--------|-------------|--|------------|--------|-------------|---------|-------|-------------|---------------------|---------------|--|--|---------------|--|--|---------|--|--|--|--|
| Risk No.              | Risk Description      | Caused by  | Effect  | Owner | Council Priorities | Likelihood | Impact | Score & RAG | Key Controls   | Likelihood | Impact | Score & RAG | Actions | Owner | Target Date | Revised Target Date | Action RAG    |  |  |               |  |  |         |  |  |  |  |
| FINANCE AND RESOURCES |                       |  |   |       |                    |            |        |             |  |            |        |             |         |       |             |                     |               |  |  |               |  |  |         |  |  |  |  |
| B1                    | Public sector funding | 1. Further economic decline.<br>2. Change in national government policy as a result of the economic position<br>3. New policies and regulations place a major financial burden on the council<br>4. Effects of funding cuts on major partners despite increased referrals, e.g. health and social care <b>or county budgets</b> , may result in increased costs for the council<br>5. Uncertainties over central government financing, e.g. new homes bonus; changes to housing finance within the Housing and Planning Bill<br><b>6. Risks from 100% retention of business rates</b>  | 1. Major reduction in public sector funding, including consequences of changes in funding arrangements for other bodies.<br>2. Impact on balancing the budget – significant change and financial savings required.<br>3. Unable to make saving within the required timescales<br>4. Requirement to sell off housing stock to fund determination.<br>5. Erosion of reserves<br>6. Major financial problems<br>7. Reputation damage<br>8. Possible industrial action<br>9. Changes become “knee jerk”<br>10. Govt intervention<br>11. Council loses critical mass in key areas<br>12. Service failures<br>13. Potential disproportionate impact on the poorest and most vulnerable members of society                                 | CFO   | All                | 5          | 5      | 25 (R)      | 1. Comprehensive 5-year transformation programme based on minimum resource allocation and robust benefit realisation.<br><br>2. Medium Term Financial Strategy incl. reserves policy, financial reporting to BMG & cabinet, transformation projects regularly monitored, MTFS is regularly reviewed and updated.<br><br>3. HRA business plan.<br><br>4. Weekly review by CLT of government announcements to assess implications and response required.<br><br>5. Keep service design under review<br><br>6. Continual review of financial position by the council and major partners   | 5          | 4      | 20 (R)      |         |       |             |                     |               |  |  |               |  |  |         |  |  |  |  |
| B2                    | Income generation     | 1. Further economic decline.<br>2. Under-utilisation of assets<br>3. CIL (community infrastructure levy) income is below expectations.<br>4. Collapse in world markets leading to loss of income<br>5. Low economic growth or recession reduces income<br>6. Other triggers:<br>a) Bethel St Police Station – market value payment<br>b) Triennial pensions review.<br>c) VAT partial exemption.<br>d) Variable energy prices.<br>e) Increasing voids due to market and economy factors.<br>f) Loss of major tenant.<br>g) GNGP board or cabinet decision on CIL investment arrangements.<br>h) The council increasingly relies on income from NNDR (business rates). This is a volatile income stream and may be at risk from changes to Government policy around planning and if other councils allow commercial developments on the edge of the city but outside the boundary. <b>The move to 100% Local Authority retention of business rates by 2020 will also transfer the risk entirely to LAs.</b><br>i) Lack of experience in some services for generating income | 1. Inability to raise capital receipts<br>2. Impact on balancing the budget – significant change and financial savings required.<br>3. Decline in income streams (e.g. rents from investment properties) – insufficient funds to maintain current service levels<br>4. Unable to make saving within the required timescales<br>5. Erosion of reserves<br>6. Major financial problems<br>7. Reputation damage<br>8. Govt intervention<br>9. Council loses critical mass in key areas<br>10. Service failures<br>11. Potential disproportionate impact on the poorest and most vulnerable members of society<br>12. Damage/costs across void portfolio<br>13. Essential infrastructure to deliver growth in the GNGP area is delayed. | CFO   | All                | 5          | 4      | 20 (R)      | 1. Comprehensive 5-year transformation programme based on minimum resource allocation, maximisation of income generation and robust benefit realisation.<br><br>2. Medium Term Financial Strategy incl. reserves policy, capital and revenue financial reporting to BMG & cabinet, transformation projects regularly monitored, MTFS is regularly reviewed and updated.<br><br>3. HRA business plan kept under review.<br><br>4. GNGP have an agreed investment plan for the Greater Norwich area and have appointed consultants to advise on the use of CIL to help deliver this programme.<br><br>5. Clear strategy for investment<br><br>6. Commercial skills training provided to all Heads of Service<br><br>7.Element of CIL programme controlled by Norwich prioritised and caution taken to ensure spend not incurred until monies certain to be received.<br>8. Independent review of income generation opportunities completed Spring 2016 and options built in to the transformation programme. | 4          | 3      | 12 (A)      |         |       |             | G                   |               |  |  |               |  |  |         |  |  |  |  |

| Details of Risk |  |   |   |       |                    | Inherent Risk |        |             | Key Controls  | Residual Risk |        |             | Actions |       |             |                     |            |
|-----------------|--|---|---|-------|--------------------|---------------|--------|-------------|---|---------------|--------|-------------|---------|-------|-------------|---------------------|------------|
| Risk No.        | Risk Description   | Caused by   | Effect  | Owner | Council Priorities | Likelihood    | Impact | Score & RAG |   | Likelihood    | Impact | Score & RAG | Actions | Owner | Target Date | Revised Target Date | Action RAG |
| B3              | Level of reserves<br>The council has a legal duty to ensure it has a prudent level of reserves to conduct its business | 1. Government policy.<br>2. Economic climate<br>3. Reserves fall below acceptable levels  | 1. Inadequate levels of reserves publicly reported by external auditors<br>2. Government intervention<br>3. Impact on reputation of the council   | CFO   | All                | 3             | 4      | 12 (A)      | 1. Medium term financial strategy (MTFS).<br>2. Development of the 5-year corporate plan and transformation programme in conjunction with the MTFS.<br>3. HRA Business Plan.<br>4. Planning and delivery of transformation (savings and income generation) programme.<br>5. Contract and business relationship management to identify and respond to business delivery risks.<br>6. Budget development, in-year monitoring and control  | 2             | 3      | 6 (A)       |         |       |             |                     |            |
| B4              | Capital developments   | 1. Housing / other developments may take longer to proceed than planned.<br>2. Housing / other developments may cost more than planned.<br>3. Interest rates on debt may rise beyond projections.<br>4. Developments may not generate planned levels of income.<br>5. Asset sales may not be sufficient to fund major repairs | 1. Delay in income streams may put pressure on revenue budgets.<br>2. Reduced net revenue contribution from developments.<br>3. May put pressure on revenue budgets / reserves to service debts<br>4. Pressure on capital budgets | CFO   | All                | 5             | 4      | 20 (R)      | 1. Medium Term Financial Strategy incl. reserves policy, capital and revenue financial reporting to BMG & cabinet, transformation projects regularly monitored, MTFS is regularly reviewed and updated.<br>2. HRA business plan.<br>3. Capital Management Group set up and reporting quarterly to CLT<br>4. Business cases for individual investments and continual review of investments<br>5. Balanced risk profile<br>6. Business plan for new housing development company approved by cabinet.<br>7. Housing company's own risk register<br>8. Continuing policy to only commit spend once resources are available. | 3             | 4      | 12(A)       |         |       |             |                     |            |
|                 |  |   |   |       |                    |               |        |             |   |               |        |             |         |       |             |                     |            |

| Details of Risk       |   |  |  |       |                    |            |        |             |   | Inherent Risk |             |         | Key Controls   | Residual Risk |             |                     | Actions    |  |  |  |  |
|-----------------------|---|--|--|-------|--------------------|------------|--------|-------------|---|---------------|-------------|---------|--|---------------|-------------|---------------------|------------|--|--|--|--|
| Risk No.              | Risk Description  | Caused by  | Effect   | Owner | Council Priorities | Likelihood | Impact | Score & RAG | Likelihood  | Impact        | Score & RAG | Actions |  | Owner         | Target Date | Revised Target Date | Action RAG |  |  |  |  |
| PROCESSES AND SYSTEMS |   |  |  |       |                    |            |        |             |   |               |             |         |  |               |             |                     |            |  |  |  |  |
| C1                    | Emergency planning and business continuity<br><br>(The council delivers a range of complex services to vulnerable elements of the community. Organisations generally are experiencing significant continuity events once every five years on average) | Occurrence of a significant event: <ul style="list-style-type: none"><li>• Loss of City Hall</li><li>• ICT failure</li><li>• Contractor collapse</li><li>• Severe weather events – storms, heatwaves, strong winds</li><li>• Flooding</li><li>• Sea level rise</li><li>• Fuel shortages</li><li>• Communications failure</li><li>• Pandemic</li><li>• Loss of power</li></ul><br>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. | 1. Service disruption and inability to deliver services<br>2. Disruption of the delivery of goods and services to the council<br>3. Increased requests for council resources and services<br>4. Health and safety impact on staff and vulnerable residents<br>5. Damage to council property and impact on tenants<br>6. Reputation damage<br>7. Years to recover                   | D-BS  | All                | 4          | 4      | 16 (R)      | 1. The council is a member of the Norfolk Resilience Forum, which has produced a Norfolk Community Risk Register<br>2. Business continuity team with access to resources; action plans have been used to deal with actual total City Hall IT failure; alternative site for customer contact team; disaster recovery plan and the use of Blackberries for communications.<br>3. The council has a major emergency management strategy and emergency planning room established at City Hall. Approach has also been used to test business continuity in the event of the main works contractor changing.<br>4. Flu pandemic plan.<br>5. Adaptations to protect the council from the local effects of climate change and address the causes are covered by corporate strategies such as the environmental strategy, together with service plans.<br>6. A new business continuity management policy and framework was approved by cabinet 25 June 2014.<br>7. A business impact analysis for each service is signed off by the head of service and executive head of service.<br>8. Business continuity steering group chaired by the D-BS.<br>9. Overall business continuity plan reviewed by CLT. | 4             | 3           | 12 (A)  | The emergency planning manager presented a report on business continuity to CLT on 2 March 2016.<br><br>A business continuity exercise is taking place in December 2016. | D-BS          | Dec-16      |                     | G          |  |  |  |  |
| C2                    | ICT strategy.<br><br>The council has transferred its ICT service to LGSS. The ICT Programme Board works alongside LGSS to keep up to date the ICT strategy for the council  | ICT strategy fails to support the organisation moving forward and the blueprint for a new council  | 1. Incoherent approach to ICT systems<br>2. Systems not customer friendly<br>3. Systems are not integrated with one another<br>4. Drain on resources as staff work around the systems<br>5. Lack of accuracy in key data<br>6. Data are unreliable<br>7. Key information not trusted<br>8. Hinders management and service improvements<br>9. Failure to deliver council priorities | D-BS  | All                | 3          | 4      | 12 (A)      | 1. NCC has developed an ICT strategic direction document detailing the key areas where ICT is required to support business objectives and change.<br><br>2. Management of the LGSS relationship will seek to ensure that NCC requirements are delivered.<br><br>3. The council has an ICT Programme Board, attended by LGSS IT.   | 2             | 4           | 8 (A)   |  |               |             |                     |            |  |  |  |  |

| Details of Risk |                      |   |   |       |                    | Inherent Risk |        |             | Key Controls  | Residual Risk |        |             | Actions   |       |             |                     |            |
|-----------------|----------------------|---|---|-------|--------------------|---------------|--------|-------------|---|---------------|--------|-------------|---|-------|-------------|---------------------|------------|
| Risk No.        | Risk Description     | Caused by   | Effect  | Owner | Council Priorities | Likelihood    | Impact | Score & RAG |   | Likelihood    | Impact | Score & RAG | Actions   | Owner | Target Date | Revised Target Date | Action RAG |
| C3              | Information security | 1. Sensitive and/or personal data is sent to the incorrect recipient or not kept securely, or is lost<br>2. Data is emailed to insecure email addresses.<br>3. Laptop or memory stick containing data is lost or stolen.<br>4. Information is sent to incorrect addresses.<br>5. External malicious attack (hacking)<br>6. Hard copy data is lost or stolen | 1. Fine up to £0.5 million<br>2. Potential harm to data subjects through loss, release or corruption of personal data<br>3. Reputational risk | D-BS  | 5                  | 5             | 4      | 20 (R)      | 1. Regularly remind all managers, employees and members of their responsibilities for the use of and security of data.<br>2. Prohibit using mobile devices to store or process sensitive or personal data unless device is encrypted.<br>3. Encrypt lap tops and data sticks when they are used to store or process sensitive or personal data.<br>4. Proper disposal of confidential waste.<br>5. Updated IT User Security policy issued April 2015 to all staff and other people who access the councils systems (e.g. partners, contractors etc.)<br>6. The council has achieved public sector network (PSN) & payment card industry (PCI) compliance<br>7. The council has an ICT programme board, attended by LGSS IT.<br>8. Corporate information assurance group<br>9. Annual security report from LGSS IT<br>10. Information risk policy and risk assessment<br>11. Business continuity and disaster recovery arrangements<br>12. Incident response plan and lessons learned<br>13. Horizon scanning for potential legislative change, such as the EU Data protection directive | 3             | 4      | 12 (A)      | Systems Support is attending training session, and will report back to CLT. | D-BS  | Mar-18      |                     |            |

| Details of Risk |   |   |  |       |                    |            |        |             | Inherent Risk  |            |        | Residual Risk |  |       | Actions     |                     |            |  |  |
|-----------------|---|---|--|-------|--------------------|------------|--------|-------------|--|------------|--------|---------------|--|-------|-------------|---------------------|------------|--|--|
| Risk No.        | Risk Description  | Caused by   | Effect   | Owner | Council Priorities | Likelihood | Impact | Score & RAG | Key Controls   | Likelihood | Impact | Score & RAG   | Actions  | Owner | Target Date | Revised Target Date | Action RAG |  |  |
| C4              | Failure of major contractor or legal challenge following an unsuccessful tender bid | 1. The council has a number of key contractors who may be vulnerable to market and economy factors.<br>2. In addition the number of legal challenges (and therefore injunctions preventing a contract award) is increasing due to the financial pressures and reducing workload<br>3. Key contractor goes into administration or an injunction is issued preventing the award of a new contract | 1. Customer and staff complaints<br>2. Services not delivered<br>3. Contingency plans have to be invoked<br>4. Cost and time to retender contract<br>5. Cost and time to defend legal challenge<br>6. Additional unforeseen costs impact delivery of balanced outturn and reserve levels | D-BS  | 5                  | 4          | 3      | 12 (A)      | 1. Monitor major contractors for warning signs and make any necessary contingency plans. Recently put into practice and contingency plans tested.<br>2. Ensure a robust procurement process is followed in accordance with the appropriate procurement regulations, NCC processes and best practice.<br>3. NPS JV extended to include works division. This arrangement enables the JV to carry out work that was previously contracted to private sector. This approach is in line with the Council's operating model. This provides enhanced security over the supplier and increased direct control by the council.<br>4. Contingency budget and allowance for failures within the calculation of prudent minimum balance of reserves<br>5. More use of shared services reduces size and scope of contracts with private sector providers (e.g. ICT)<br>6. Increased use of framework contracts increases resilience against contractor failure. | 3          | 3      | 9 (A)         |  |       |             |                     |            |  |  |
| C5              | Fraud and corruption  | 1. Poor internal controls lead to fraudulent acts against the council, resulting in losses.<br>2. Bribery Act 2010 came into force 1 July 2011 – lack of guidance or policies - council fails to prevent bribery<br>3. Failure in internal control.<br>4. Discovery of fraudulent acts.<br>5. Allegations received.<br>6. Member of staff or councillor breaks the law.                         | 1. Loss of income or assets<br>2. Adverse public opinion<br>3. Effect on use of resources<br>4. Increased costs of external audit<br>5. Cost of investigation and rectifying weaknesses<br>6. Prison   | CFO   | 5                  | 3          | 3      | 9 (A)       | 1. Internal audit<br>2. Anti-fraud and corruption policy,<br>3. Payment Card Industry security assessment to protect card payments,<br>4. National Fraud Initiative,<br>5. Whistleblowing policy<br>6. Review and update as necessary policies and procedures.<br>7. Assess risk of bribery, train staff and monitor and review procedures.<br>8. Robust procurement procedures, e-tendering portal and governance by the procurement team<br>9. Delegation procedures   | 2          | 3      | 6 (A)         | Review needed of anti-fraud, whistleblowing and anti-bribery policies. The review has created new draft policies, which are now being consulted with stakeholders. | CFO   | Dec-16      | Mar-16              | G          |  |  |

| Details of Risk     |                   |   |   |       |                       | Inherent Risk |        |                | Key Controls   | Residual Risk |        |                | Actions |       |             |                        |            |
|---------------------|-------------------|---|---|-------|-----------------------|---------------|--------|----------------|--|---------------|--------|----------------|---------|-------|-------------|------------------------|------------|
| Risk No.            | Risk Description  | Caused by   | Effect  | Owner | Council<br>Priorities | Likelihood    | Impact | Score &<br>RAG |  | Likelihood    | Impact | Score &<br>RAG | Actions | Owner | Target Date | Revised<br>Target Date | Action RAG |
| LEARNING AND GROWTH |                   |   |   |       |                       |               |        |                |  |               |        |                |         |       |             |                        |            |
| D1                  | Industrial action | 1. Changes to pension regulations and pay restraint and changes to terms and conditions could lead to industrial action by employees<br>2. National negotiating framework - failure to agree.<br>3. Ballot of union members.<br>4. Implementation of changes to the LGPS.<br>5. Implementation of government interventions on pay | 1. Loss of key services<br>2. Public safety<br>3. Loss of income<br>4. Reputation | D-BS  | All                   | 3             | 4      | 12 (A)         | 2 stages – managing the threat of industrial action and responding to industrial action<br>1. Identify and agree with UNISON exemptions from strike action<br>2. Identify and implement business continuity/contingency plans to maintain essential services and ensure statutory duties are met<br>3. CLT agree and implement strategy for response to strike action i.e. assessing the scale of the action, communications, response depending on nature of the action, wider industrial relations implications, deductions from pay etc.<br>4. National and regional guidance<br>5. Statutory immunities – Trade Union Labour Relations (Consolidation) Act<br>6. Well embedded business continuity and industrial action plans | 3             | 2      | 6 (A)          |         |       |             |                        |            |
|                     |                   |   |   |       |                       |               |        |                |  |               |        |                |         |       |             |                        |            |

**Council Priorities 2015-2020:**

1. To make Norwich a safe, clean and low-carbon city
2. To make Norwich a prosperous and vibrant city
3. To make Norwich a fair city
4. To make Norwich a healthy city with good housing
5. To provide value for money services

**Key to risk owners (above):**

|       |  |
|-------|--|
| CEO   | Chief executive officer                  |
| D-N   | Director of neighbourhoods               |
| D-BS  | Director of business services            |
| D-CC  | Director of customers and culture        |
| D-R&D | Director of regeneration and development |
| CFO   | Chief finance officer (s151)             |

Norwich City Council

**Summary of Residual Scores for Corporate Risks**

November 2016

|               |            |   |                   |            |            |        |             |
|---------------|------------|---|-------------------|------------|------------|--------|-------------|
| <b>Impact</b> | Very High  | 5 |                   |            |            |        |             |
|               | High       | 4 |                   | A3, A4, C2 | A2, B4, C3 |        | A8, B1      |
|               | Medium     | 3 |                   | B3, C5,    | A6, C4     | B2, C1 |             |
|               | Low        | 2 |                   |            | A1, D1     |        |             |
|               | Negligible | 1 |                   |            |            |        |             |
|               |            |   | 1                 | 2          | 3          | 4      | 5           |
|               |            |   | Very rare         | Unlikely   | Possible   | Likely | Very Likely |
|               |            |   | <b>Likelihood</b> |            |            |        |             |

**Red scores** – in excess of the council's risk appetite (risk score 16 to 25) – action needed to redress, quarterly monitoring. In exceptional circumstances cabinet can approve a residual risk in excess of the risk appetite if it is agreed that it is impractical or impossible to reduce the risk level below 16. Such risks should be escalated through the management reporting line to CLT and cabinet.

**Amber scores** – likely to cause the council some difficulties (risk score 5 to 15) – quarterly monitoring

**Green scores** (risk score 1 to 4) – monitor as necessary





## Risk Management Policy

### Document control

| Version | Author   | Date     | Summary of changes   |
|---------|----------|----------|--|
| V0.1d   | S Dowson | 05/09/13 | First draft  |
| V0.2d   | S Dowson | 10/10/13 | Updated following comments from Anton Bull and John Davies               |
| V0.3d   | S Dowson | 31/10/13 | Updated following comments from BMG                                      |
| V1.0    | S Dowson | 11/11/13 | Final version for committee  |
| V1.1    | S Dowson | 06/11/14 | Minor updates following comments from BMG                                |
| V2.0    | S Dowson | 07/11/14 | Final version approved by cabinet 10 December 2014                       |
| V2.1    | S Dowson | 30/09/15 | Tracked updates for approval by CLT and audit committee 17 November 2015 |
| V3.0    | S Dowson | 19/01/16 | Approved by cabinet 13/01/16   |
| V3.1    | J Tully  | 08/11/16 | Annual review  |

|                   |              |
|-------------------|--------------|
| Next review date: | October 2017 |
|-------------------|--------------|

## 1. INTRODUCTION BY CHIEF EXECUTIVE

Norwich City Council seeks to ensure that services, delivered either directly or through others, are of a high quality, provide value for money and meet evidenced need.

We are a complex organisation that works with a wide variety of other organisations in different and varying ways. As a result we need to ensure that the way we act, plan and deliver is carefully thought through both on an individual and a corporate basis.

The council defines what it seeks to achieve in the form of corporate priorities and details how it expects to deliver them through the corporate plan, as well as service and team plans.

There are many factors which might prevent the council achieving its plans, therefore we seek to use a risk management approach in all of our key business processes with the aim of identifying, assessing and managing any key risks we might face. This approach is a fundamental element of the council's code of governance.

This risk management policy is fully supported by members, the chief executive and the corporate leadership team who are accountable for the effective management of risk within the council. On a daily basis all officers of the council have a responsibility to recognise and manage risk in accordance with this policy and the associated risk management strategy. **Risk management is everyone's business.**

The Accounts and Audit Regulations 2015 state:

*A relevant authority must ensure that it has a sound system of internal control which*

- (a) facilitates the effective exercise of its functions and the achievement of its aims and objectives;*
- (b) ensures that the financial and operational management of the authority is effective; and*
- (c) includes effective arrangements for the management of risk.*

In Norwich City Council risk management is about improving our ability to deliver our strategic objectives by managing our threats, enhancing our opportunities and creating an environment that adds value to ongoing operational activities.

I am committed to the effective management of risk at all levels of this council. This policy, together with the risk management strategy, is an important part of ensuring that effective risk management takes place.

**Laura McGillivray**

**Chief Executive**

## **2. WHAT IS RISK?**

The council's definition of risk is:

**“Factors, events or circumstances that may prevent or detract from the achievement of the council’s corporate priorities and service plan objectives.”**

## **3. RISK MANAGEMENT OBJECTIVE**

Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the council's governance framework.

The council will operate an effective system of risk management which will seek to ensure that risks which might prevent the council achieving its plans are identified and managed on a timely basis in a proportionate manner. In practice this means that the council has taken steps to ensure that risks do not prevent the council achieving its corporate priorities or service plan objectives.

## **4. RISK MANAGEMENT PRINCIPLES**

- The risk management process should be consistent across the council, clear and straightforward and result in timely information that helps informed decision making
- Risk management should operate within a culture of transparency and openness where risk identification is encouraged and risks are escalated where necessary to the level of management best placed to manage them effectively
- Risk management arrangements should be dynamic, flexible and responsive to changes in the risk environment
- The response to risk should be mindful of risk level and the relationship between the cost of risk reduction and the benefit accruing, i.e. the concept of proportionality
- Risk management should be embedded in everyday business processes
- Officers of the council should be aware of and operate the council's risk management approach where appropriate
- Members should be aware of the council's risk management approach and of the need for the decision making process to be informed by robust risk assessment, with cabinet members being involved in the identification of risk on an annual basis.

## 5. APPETITE FOR RISK

As an organisation with limited resources it is inappropriate for the council to seek to mitigate all of the risk it faces. The council therefore aims to manage risk in a manner which is proportionate to the risk faced, based on the experience and expertise of its senior managers.

However, cabinet has defined the maximum level of residual risk which it is prepared to accept as a maximum risk score of 15 in line with the scoring matrix attached at **appendix 1** (for corporate priority and service plan objective risks).

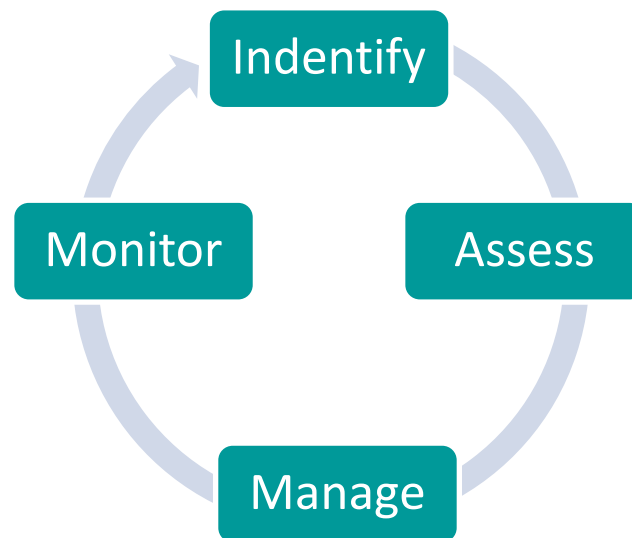
Other areas of risk, such as small projects or health and safety, may have a different risk appetite depending on the circumstances, but only if they do not impact on corporate priorities or service plan objectives.

## 6. BENEFITS OF RISK MANAGEMENT

- Alerts members and officers to the key risks which might prevent the achievement of the council's plans, in order that timely mitigation can be developed to either prevent the risks occurring or to manage them effectively if they do occur.
- Risk management at the point of decision making should ensure that members and officers are fully aware of any key risk issues associated with proposals being considered.
- Leads to greater risk awareness and an improved and cost effective control environment, which should mean fewer incidents and other control failures and better service outcomes.
- Provides assurance to members and officers on the adequacy of arrangements for the conduct of business. It demonstrates openness and accountability to various regulatory bodies and stakeholders more widely.
- Allows the council to take informed decisions about exploiting opportunities and innovation, ensuring that we get the right balance between rewards and risks.

## 7. RISK MANAGEMENT APPROACH

The risk management approach adopted by the council is based on identifying, assessing, managing and monitoring risks at all levels across the council:



The detailed stages of the council's risk management approach are recorded in the risk management strategy, which is reviewed by corporate leadership team (CLT) on an annual basis. The strategy provides managers with detailed guidance on the application of the risk management process.

The strategy can be located on citynet [\[here\]](#).

Additionally individual business processes, such as decision making, project management will provide guidance on the management of risk within those processes.

## 8. AWARENESS AND DEVELOPMENT

The council recognises that the effectiveness of its risk management approach will be dependent upon the degree of knowledge of the approach and its application by officers and members.

The council is committed to ensuring that all members, officers, and partners where appropriate, have sufficient knowledge of the council's risk management approach to fulfil their responsibilities for managing risk. This will be delivered through formal training programmes, risk workshops, briefings, and internal communication channels.

## 9. CONCLUSION

The council will face risks to the achievement of its plans. The risk management approach detailed in this policy should ensure that the key risks faced are recognised, and effective measures are taken to manage them in accordance with the defined risk appetite.

## SCORING MATRIX

|                      |                |               |               |             |                  |
|----------------------|----------------|---------------|---------------|-------------|------------------|
| Very high<br>5       | 5              | 10            | 15            | 20          | 25               |
| High<br>4            | 4              | 8             | 12            | 16          | 20               |
| Medium<br>3          | 3              | 6             | 9             | 12          | 15               |
| Low<br>2             | 2              | 4             | 6             | 8           | 10               |
| Negligible<br>1      | 1              | 2             | 3             | 4           | 5                |
| IMPACT<br>LIKELIHOOD | Very rare<br>1 | Unlikely<br>2 | Possible<br>3 | Likely<br>4 | Very likely<br>5 |

**Red:** In excess of the council's risk appetite (risk score 16 to 25) - action needed to redress, quarterly monitoring

**Amber:** Likely to cause the council some difficulties (risk score 5 to 15) - quarterly monitoring

**Green:** Monitor as necessary (risk score 1 to 4)

**Report to** Cabinet  
18 January 2017  
**Report of** Strategy manager  
**Subject** Equality Information Report

**Item**

**9**

## **KEY DECISION**

---

### **Purpose**

To consider the annual equality information report.

### **Recommendation**

To approve publication of the annual equality information report.

### **Corporate and service priorities**

The report helps to meet the corporate priority a fair city

### **Financial implications**

None

**Ward/s:** All Wards

**Cabinet member:** Councillor Thomas - Fairness and equality

### **Contact officers**

Adam Clark

01603 212273

### **Background documents**

None

# Report

1. The annual equality report is submitted for review and approval
2. There is a statutory requirement for the document to be published annually. To meet this requirement, we must publish this by the 31 January 2017.
3. The report was discussed at the scrutiny committee meeting held on 15 December 2016. There were no recommendations about the content of the report, but it was requested that officers review the timetable for publication. Given the timetable for the publication of underlying data, the existing schedule of publishing the report by the end of January remains optimal.
4. There are no significant changes in most of the data since last year, although a new system for reporting hate crimes and hate incidents by the police makes it difficult to compare directly. There have been increases in local wage rates but with a widening gender gap. Norwich resident wages are still behind those for people working in Norwich as well as regional and national levels.
5. There may still be a minor change to be made to the report before publication that will update the information about training received by council staff.



## Integrated impact assessment



**NORWICH**  
City Council

### Report author to complete

|                                   |  |
|-----------------------------------|--|
| <b>Committee:</b>                 | Cabinet  |
| <b>Committee date:</b>            | 18 January 2017  |
| <b>Director / Head of service</b> | Strategy Manager   |
| <b>Report subject:</b>            | Equalities Information Report  |
| <b>Date assessed:</b>             | 3 January 2017   |
| <b>Description:</b>               | To consider the equality information report which is a statutory requirement under the Equality Act 2010, outlining how we carry out our public sector equality duties |

|  | Impact                              |                                     |                          |  |
|--|-------------------------------------|-------------------------------------|--------------------------|--|
| Economic<br>(please add an 'x' as appropriate)                             | Neutral                             | Positive                            | Negative                 | Comments   |
| Finance (value for money)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Other departments and services<br>e.g. office facilities, customer contact | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Understanding the impact of the council on residents and employees with protected characteristics helps identify good practice and areas for improvement |
| ICT services   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Economic development   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Financial inclusion  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
|  |                                     |                                     |                          |  |
| Social<br>(please add an 'x' as appropriate)                               | Neutral                             | Positive                            | Negative                 | Comments   |
| Safeguarding children and adults   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| <u>S17 crime and disorder act 1998</u>                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Human Rights Act 1998  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Potential positive impact on recognising responsibilities  |
| Health and well being  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
|  |                                     |                                     |                          |  |

|  | Impact                              |                                     |                          |   |
|--|-------------------------------------|-------------------------------------|--------------------------|---|
| Equality and diversity<br>(please add an 'x' as appropriate) | Neutral                             | Positive                            | Negative                 | Comments  |
| Relations between groups<br>(cohesion)                       | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Report includes data on community cohesion and how the council discharges duties around the Equality Act 2010 |
| Eliminating discrimination & harassment                      | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | As above  |
| Advancing equality of opportunity                            | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | As above  |
|  |                                     |                                     |                          |   |
| Environmental<br>(please add an 'x' as appropriate)          | Neutral                             | Positive                            | Negative                 | Comments  |
| Transportation   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Natural and built environment                                | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Waste minimisation & resource use                            | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Pollution  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Sustainable procurement                                      | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Energy and climate change                                    | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
|  |                                     |                                     |                          |   |
| (Please add an 'x' as appropriate)                           | Neutral                             | Positive                            | Negative                 | Comments  |
| Risk management  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |

| Recommendations from impact assessment   |  |
|--|--|
| <b>Positive</b>  |  |
| Continue to monitor equalities data to identify areas for improvement and ensure that meeting public sector equality duty is 'business as usual' for council |  |
| <b>Negative</b>  |  |
|  |  |
| <b>Neutral</b>   |  |
|  |  |
| <b>Issues</b>  |  |
|  |  |



# Equality information report

January 2017

# 1. Introduction

This report provides information about the people who live in Norwich, who work at the council and who use its services. It allows all those who design services for the city's population to do so with the latest information to hand. Publishing information in this way is a specific public sector duty as laid out in the Equality Act (2010), which requires that public bodies publish annual data by 31 January each year.

This report demonstrates how we show due regard to the three general equality duties across our functions:

- Advancing equality of opportunity between people who share a protected characteristic and those who do not
- Eliminating discrimination, harassment, and victimisation and other conduct prohibited by the act
- Promoting good relations between people who share a protected characteristic and those who do not.

The council has four equality objectives, which are aligned with the revised 2015-2020 corporate priorities:

| <b>Equality objective</b>   | <b>corporate priority</b>               |
|---|---|
| <b>Tackling hate incidents and crimes</b>   | <b>Safe, clean and low carbon city</b>  |
| <b>Access to quality information, advice, and advocacy including financial capability</b> | <b>Prosperous and vibrant city</b>      |
| <b>Treating people with dignity and respect</b>   | <b>Core values</b>                      |
| <b>Accessible and safe housing</b>  | <b>A healthy city with good housing</b> |

The council's corporate priorities were updated in 2015 and the current equality objectives remain aligned to these. Any future changes to the corporate priorities will necessitate a review of the equality objectives.

Each service area has equality actions as part of its annual service plans. Reporting is undertaken through our performance management system, on a quarterly basis. In addition, Integrated Impact Assessments are undertaken for each report submitted to cabinet, and Equality Impact Assessments accompany major decisions made at the council. These are all published with committee reports or in the equality section of the website.

A councillor from cabinet is the portfolio holder for equalities, and receives regular updates from officers. This is currently Councillor Vaughan Thomas.

## Glossary of terms

|                          |  |
|--------------------------|--|
| Protected characteristic | This is a phrase used in equalities legislation to identify groups at risk of discrimination. These are: age, disability, gender reassignment, race, religion or belief, sex, sexual orientation, marriage and civil partnership, and pregnancy and maternity. |
| BAME                     | Black and minority ethnic  |
| Scrutiny committee       | This is a group of non-executive councillors which helps to develop policy and improve performance, and holds the council's cabinet to account for their decisions.  |

The data in this report is taken largely from the 2011 Census, the council's own statistics, and labour market statistics from the Office for National Statistics. The age of data from these sources vary but this report uses the most up-to-date statistics available at the time of publication. The report also looks back over the previous completed financial year so will again be dated in parts.

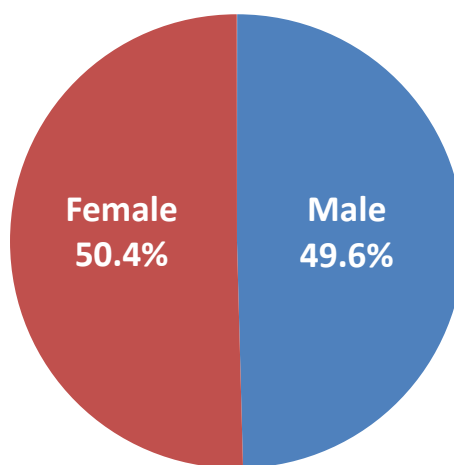
## 2. What do we know?

### 2.1 Demographics

#### Population

The mid-2015 population estimates indicate that **138,900** people live in Norwich, showing that Norwich continues to grow (1.02% annually). All demographic figures are from the Office of National Statistics unless otherwise stated.

**Norwich residents by gender - mid-2015 estimates**



#### Ethnicity

| Percentage of population – Ethnicity 2011 National Census statistics |             |           |
|--|-------------|-----------|
|  | Norwich     | England   |
| <b>Total White</b>   | <b>90.8</b> | <b>86</b> |
| White non-British  | 6.1         | 5.5       |
| <b>Total Black, Asian or minority ethnic group</b>                   | <b>9.2</b>  | <b>14</b> |
| Asian/Asian British  | 4.4         | 7.5       |
| Black/African/Caribbean/Black British                                | 1.6         | 3.3       |
| Mixed heritage   | 2.3         | 2.2       |
| Other ethnic group   | 0.8         | 1.0       |

The National Census of 2011 gives us the most accurate figures to date regarding the ethnicity of residents of Norwich. It shows that the city is less diverse than the rest of the country on average, although it has a slightly higher proportion of white non-British residents than is the case nationally. It must be noted that census data is now over 5 years old, so recent changes may well have occurred since publication.



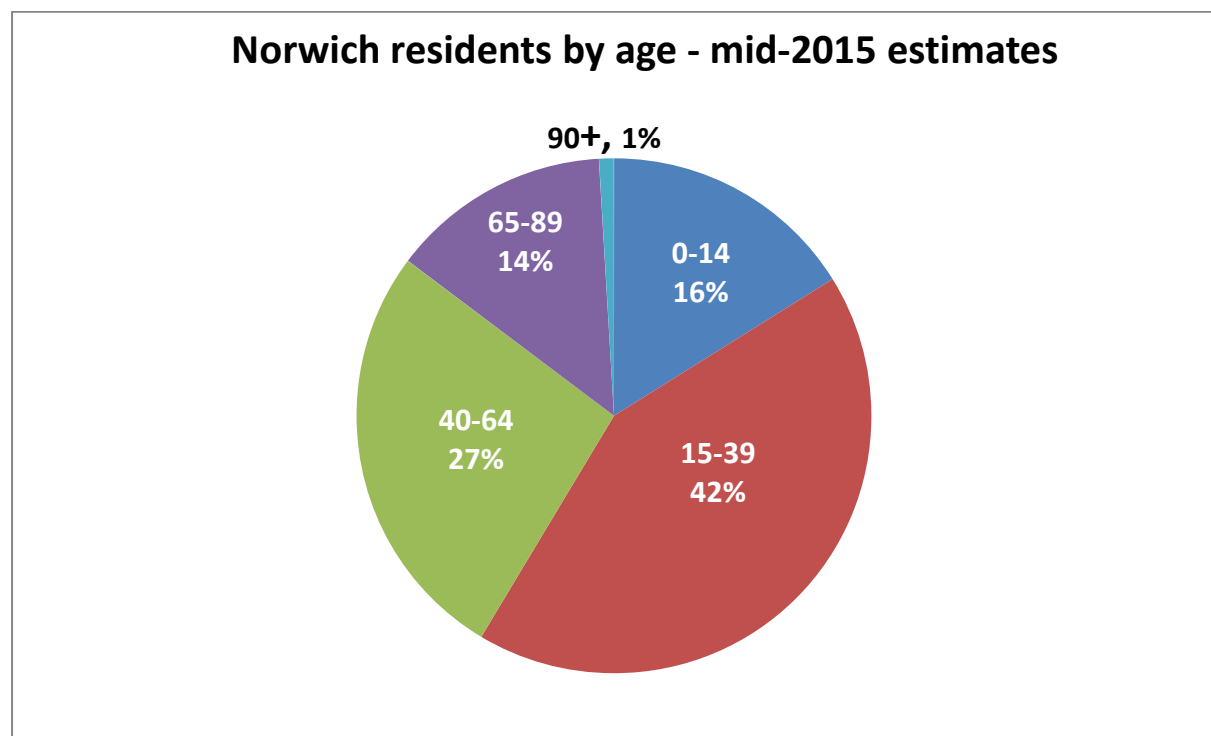
## Disability

The table below provides responses 'limited a lot' and 'limited a little' to the question: 'Are your day-to-day activities limited because of a health problem or disability which has lasted, or is expected to last, at least 12 months?'

| <b>Disability 2011 National Census statistics by percentage</b> |                 |              |              |
|---|-----------------|--------------|--------------|
|   | <b>A little</b> | <b>A lot</b> | <b>Total</b> |
| Norwich   | 9.8             | 8.6          | <b>18.4</b>  |
| England   | 9.3             | 8.3          | <b>17.6</b>  |

The number of disabled people in Norwich has remained relatively consistent with the figures from a decade ago. These are the only reliable statistics giving a comprehensive picture of disability in Norwich.

## Age



## Population by broad age group in 2015 in England and Wales

| Age group  | 0-14 | 15-39 | 40-64 | 65-89 | 90+ |
|------------|------|-------|-------|-------|-----|
| Percentage | 18   | 32    | 32    | 17    | 1   |

Mid-2015 estimates (rounded figures provided)

Norwich has a youthful demographic in comparison to Norfolk and the rest of the country, with 42 per cent of residents in the 15 to 39 age group, as opposed to 32 per cent nationally. This has an impact on a range of issues such as: working age population on benefits, young people not in employment, education, and training.

## 2.2 Employment in Norwich

| <b>Percentage of Norwich population economically inactive compared with that of the region and England as a whole June 2016</b> |         |                 |         |
|---|---------|-----------------|---------|
| <b>Year to June 2016</b>  | Norwich | East of England | England |
| Economically inactive - aged 16-64  | 17.0    | 19.9            | 21.9    |
| Economically inactive - aged 16-24  | 26.2    | 34.8            | 37.3    |
| Economically inactive - aged 50+  | 52.5    | 57.0            | 57.4    |
| Economically inactive - aged 65+  | 92.0    | 88.7            | 89.3    |
| Economically inactive - aged 16-64 - Male   | 14.3    | 14.2            | 16.5    |
| Economically inactive - aged 16-64 - Female   | 19.6    | 25.4            | 27.3    |
| Economically inactive - aged 16-64 - White  | 15.2    | 19.1            | 20.5    |

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Levels of the population economically inactive across the city are lower than for both England as a whole and the East of England. This is particularly true in the younger 16-24 population. In the past 12 months there has generally been a reduction in the proportion of residents economically inactive, although it has risen slightly amongst those aged 65+. It should be noted that the figures above at a district level come with larger margins of error; this is particularly true of those aged 16-24 with a margin of error  $\pm 11.6\%$ .

The table below suggests that a greater than average number of residents need to claim some form of benefit to support their income. This is reflected across a whole range of different benefit types and personal circumstances.

| Percentage of working age population claiming benefits (all) May 2016                 |         |                 |         |
|---|---------|-----------------|---------|
|   | Norwich | East of England | England |
| People of working age on benefits (working age client group)                          | 12.9    | 9.3             | 11.1    |
| All disabled/illness related benefits   | 8.5     | 5.6             | 6.8     |
| All disabled/illness related benefits as percentage of working age client group       | 65.9    | 60.2            | 61.3    |
| Claimant count rate (unemployed and seeking work)                                     | 1.9     | 1.3             | 1.8     |
| ESA/Incapacity benefits (employee support allowance paid to people with disabilities) | 7.4     | 4.8             | 5.9     |

| £ Median hourly pay – resident in Norwich 2016 |         |                 |               |
|--|---------|-----------------|---------------|
|  | Norwich | East of England | Great Britain |
| Full-time workers                              | 11.77   | 14.30           | 13.73         |
| Male full-time workers                         | 12.13   | 15.00           | 14.35         |
| Female full-time workers                       | 10.83   | 13.12           | 12.89         |

Median full-time hourly pay for residents (excluding overtime) has increased since the last equality information report. The rate of increase has been greater for men than women, meaning that the pay gap between men and women has risen from £1.24 to £1.30. Pay for a full time male resident has increased at a lower rate (2.8%) than regionally (3.4%) but a higher rate than nationally (2.4%). This effect is more severe for full time females, with a pay increase of 0.6% compared to 2.8% regionally and 2.5% nationally.

**£ Median hourly pay – working in Norwich 2016**

|                          | Norwich |
|--------------------------|---------|
| Full-time workers        | 12.45   |
| Male full-time workers   | 13.95   |
| Female full-time workers | 11.49   |

Another key gap is between the pay of Norwich residents and those working in Norwich, which includes those residing outside the city council's boundary. Figures from October 2016 show that median hourly earnings for people working full-time in Norwich (£12.45 per hour) are higher than those for Norwich residents (£11.77 per hour). There is a marked difference in median earnings for male full-time workers: men working in Norwich (£13.95); men resident in Norwich (£12.13). The same is evident for women full time workers: Female working in Norwich (£11.49); female resident in Norwich (£10.83). This shows that higher paid men and women working in Norwich are more likely than average to live outside of the city council area and commute in. People who work in Norwich full time, both male and female, have seen large annual increases in pay, a 7.6% increase for males, and a 5.3% increase for females, well above the 2.4% national average. A caveat to the above district level data is that due to a smaller sample size, some of the results contain a reasonably large margin of error, in particular, full time male workers in Norwich, with a margin of error of +-11%.

### 3. Norwich City Council as an employer

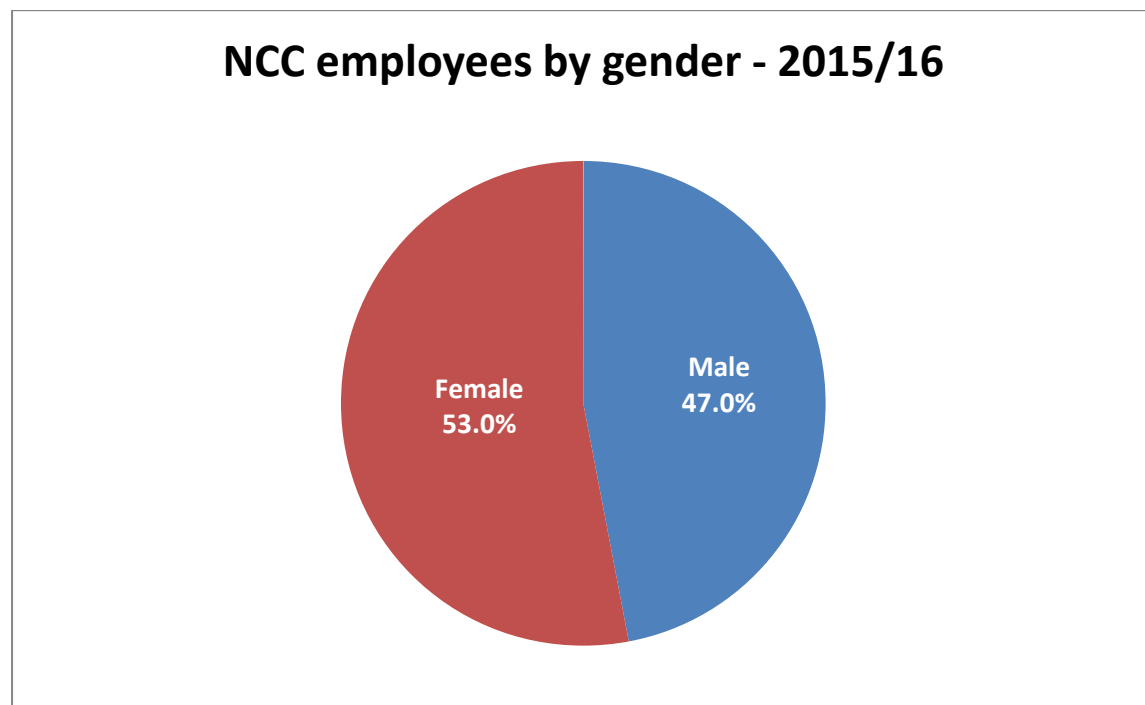
#### 3.1 Who works here?

Statistics below are for the period from April 2015-April 2016 unless otherwise stated and are taken from internal records which employees update.

On 31 March 2016 there were **633** employees at the council, a decrease from the previous year (-1.8%).

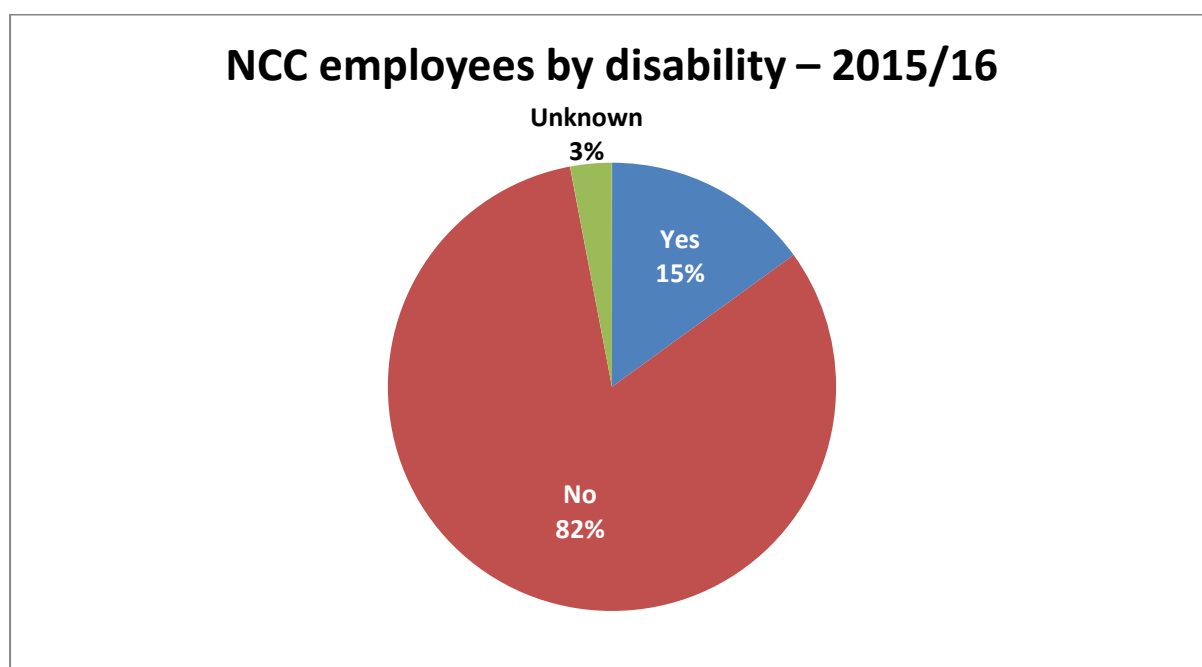
Norwich City Council's aim is for the workforce to reflect the percentage of the local community who are economically active, from an ethnic minority, have a disability and match the gender balance.

#### Gender of employees



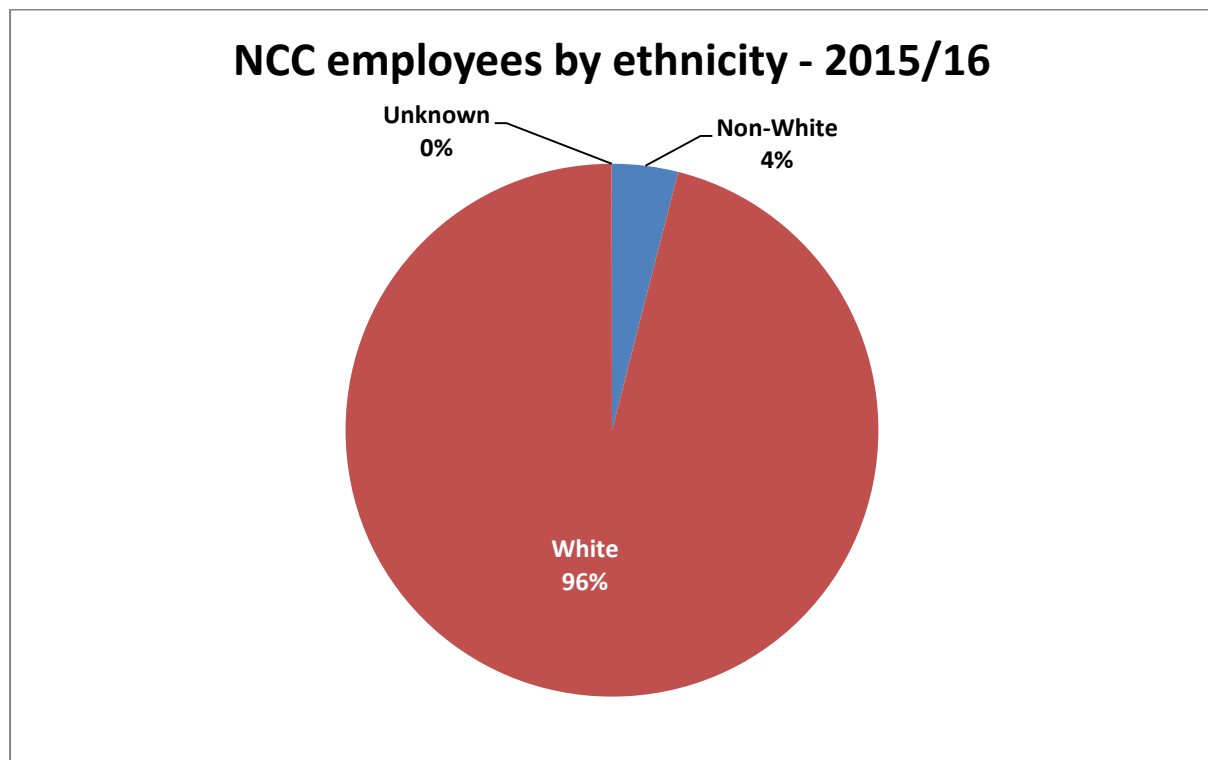
Women make up 68 per cent of part-time employees and 42 per cent of full-time employees. Therefore, very broadly, women are more likely than men to work in part-time posts and overall the gender split of total people employed by the council is broadly representative of the city as a whole. Of those on maternity leave, 41.67 per cent returned in the time stated and the other 58.33per cent were either still on maternity leave or had not yet notified us of their intentions. No-one has resigned. The number of women taking maternity leave during the period was low.

## Disability



The proportion of employees with a disability has risen from 10% to 15%, partly due to a change in the process for recording this information. The current local profile indicates that 18.4 per cent of the population classifies themselves as having some limitation in day-to-day activity. However, the proportion of those who are economically active with a disability is closer to this employment pattern. The employee survey results in 2016 were broadly similar with 11 per cent of respondents declaring a disability and 6 per cent who didn't state whether or not they had a disability. The council operates a guaranteed interview scheme in recruitment and makes reasonable adjustments for new and existing employees to support them at work.

## Ethnicity



There is still an under-representation of black and minority ethnic (BAME) employees, as the working age population stands at approximately ten per cent but only four per cent of employees are from a BAME background. This figure has remained static since the previous year. Only 2.9 per cent of the top five per cent of earners are from an ethnic minority.

### Percentage of employees by age

| 16-29 | 30-44 | 45-59 | 60-64 | 65+ |
|-------|-------|-------|-------|-----|
| 8.5   | 37    | 46.9  | 6.6   | 0.9 |

The majority of employees are between 30 and 59 years old, which largely reflects the demographics of the working age population city. There remains an under-representation of younger employees, only 8.5% of the workforce are aged 16-29 compared to 26.8% of Norwich residents, though a large student population in the city explains this.

### Other protected characteristics

Of the 422 respondents to the 2016 employee survey, we know that 49 per cent have no religion, whilst 36 per cent identify as Christian. Numbers for other religions are too small to report. This is somewhat consistent with National Census data of 2011 which states that 42.5 per cent of residents have no religion, and 44.9 per cent identify as Christian.

There is no national evidence of numbers regarding sexual orientation; we understand that about seven per cent of the population may identify as gay, lesbian,

or bisexual. Seven percent of respondents to the employee survey identified as gay, lesbian, or bisexual. This is an encouraging figure as it means that employees are confident in responding to a survey with such personal details.

Although we have collected data regarding the gender assignment of employees, numbers are too small to report. However, we have successfully supported the transition of employees in the workplace, with positive feedback from transgender awareness advocates.



## 3.2 Training

| Number of Training courses attended |           |       | Percentages |
|-------------------------------------|-----------|-------|-------------|
| Gender                              | Male      | 1022  | 43.0        |
|                                     | Female    | 1357  | 57.0        |
| Disability                          | Yes       | 293   | 12.3        |
|                                     | No        | 2015  | 84.7        |
|                                     | Unknown   | 71    | 3           |
| Ethnicity                           | Non-white | 103   | 4.5         |
|                                     | White     | 2267  | 95.3        |
|                                     | Unknown   | 6     | 0.3         |
| Age                                 | 16-29     | 251   | 10.6        |
|                                     | 30-44     | 959   | 40.3        |
|                                     | 45-59     | 1050  | 44.1        |
|                                     | 60-64     | 112   | 4.7         |
|                                     | 65+       | 7     | 0.3         |
| Totals                              |           | 2,379 | 100         |

Numbers may not add to 100 due to rounding

This chart captures corporate training only. It largely reflects the general make up of employees and as such does not identify any significant issues regarding the proportion of employees who receive training.

## 3.3 Equal pay

| Median basic salary (£) by full-time/part-time & gender March 2016 |       |        | percentage difference |
|--|-------|--------|-----------------------|
| Full-time / Part-time  | Male  | Female |                       |
| FT hourly rate   | 13.63 | 13.63  | 0%                    |
| PT hourly rate   | 12.28 | 13.63  | 10.4%                 |

| Mean basic salary (£) by full-time/part-time & gender March 2016 |       |        | percentage difference |
|--|-------|--------|-----------------------|
| Full time / Part time  | Male  | Female |                       |
| FT hourly rate   | 15.06 | 14.81  | 1.7%                  |
| PT hourly rate   | 13.00 | 13.76  | 5.7%                  |

The figures provided reflect basic pay and do not include enhancements paid for shift and weekend working. As we can see, for full-time workers, there is no gender difference in the median pay received by employees. As the median denotes the midpoint in the distribution, this is due to the fact that for both genders there are a significant number of full-time workers on the same pay band. However, when we look at average hourly rate for full-time workers, we can see that female employees earn around two per cent less on average than male.

The divide is more pronounced for part-time workers, with the median pay for female part-time employees ten per cent greater than for male, and on average nine per cent more. There are a far greater number of part-time female employees than male.

#### **Top five per cent earners:**

Only 32.35 per cent of top earners are women, which is not representative of the gender split within the workforce.

### **3.4 Recruitment**

#### **Recruitment by disability and ethnicity for 1 April 2015 to 31 March 2016**

| Applicants  | Ethnicity |           |             | Disabled |     |             |
|-------------|-----------|-----------|-------------|----------|-----|-------------|
|             | White     | Non-white | Unspecified | Yes      | No  | Unspecified |
| Applicants  | 838       | 62        | 39          | 87       | 650 | 202         |
| Shortlisted | 200       | 11        | 1           | 29       | 142 | 41          |
| Offered     | 94        | 4         | 1           | 11       | 77  | 11          |

#### **Recruitment by gender and age for 1 April 2015 to 31 March 2016**

| Applicants  | Gender |        |             | Age   |       |       |       |     |             |
|-------------|--------|--------|-------------|-------|-------|-------|-------|-----|-------------|
|             | Male   | Female | Unspecified | 16-29 | 30-44 | 45-59 | 60-64 | 65+ | Unspecified |
| Applicants  | 442    | 461    | 36          | 292   | 318   | 213   | 11    | 2   | 103         |
| Shortlisted | 106    | 106    | 0           | 59    | 87    | 58    | 3     | 0   | 5           |
| Offered     | 60     | 39     | 0           | 27    | 42    | 26    | 1     | 0   | 3           |

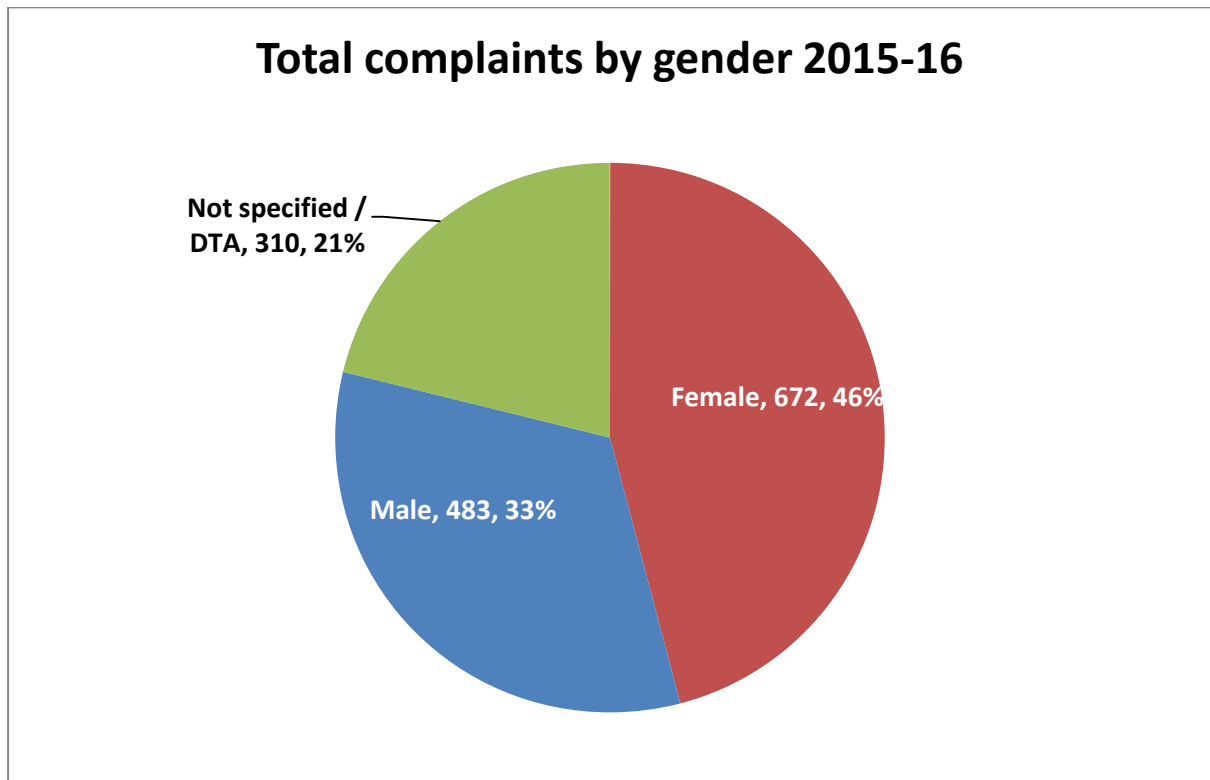
### **3.5 Disciplinary/Grievances**

The data available regarding disciplinary, grievance, leavers, and promotions for April 2015-16 is not appropriate to publish as some data sets are fewer than ten employees at a time which may suggest trends that do not exist. Low numbers also pose a threat to the confidentiality of employees.

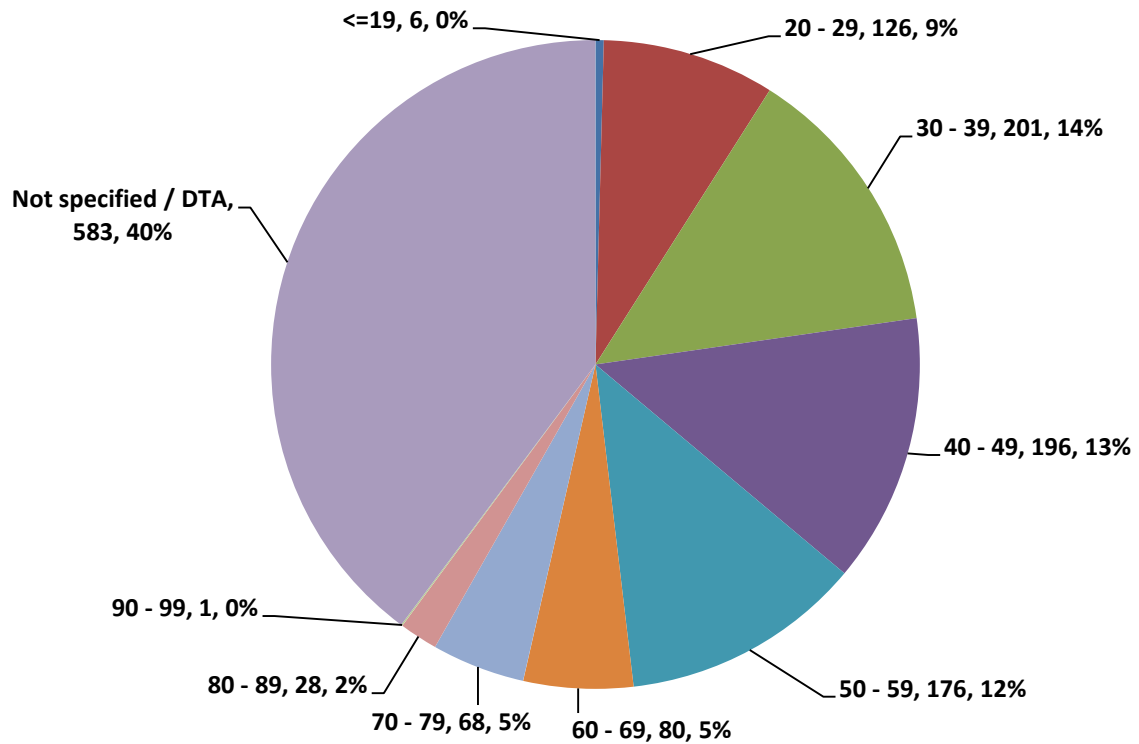
## 4. Customer complaints and satisfaction rates

### 4.1 Complaints

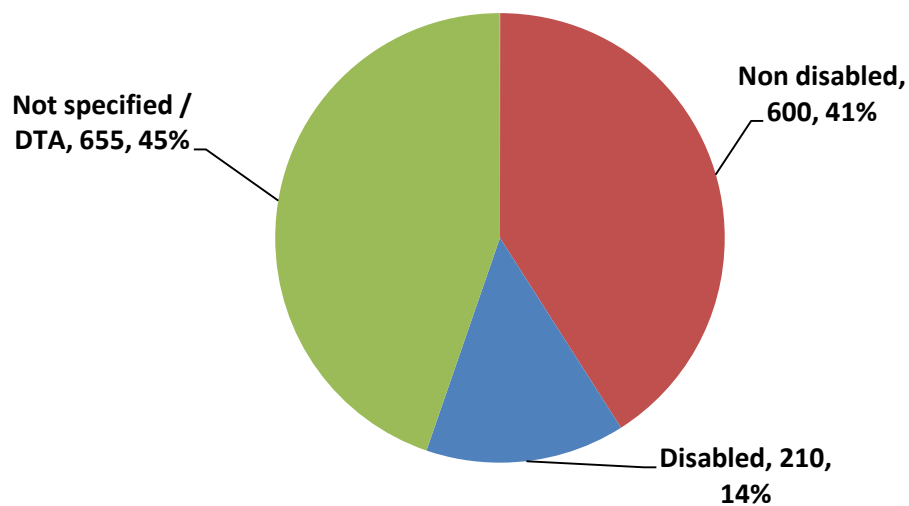
There were **1,465** complaints from April 2015 to March 2016.



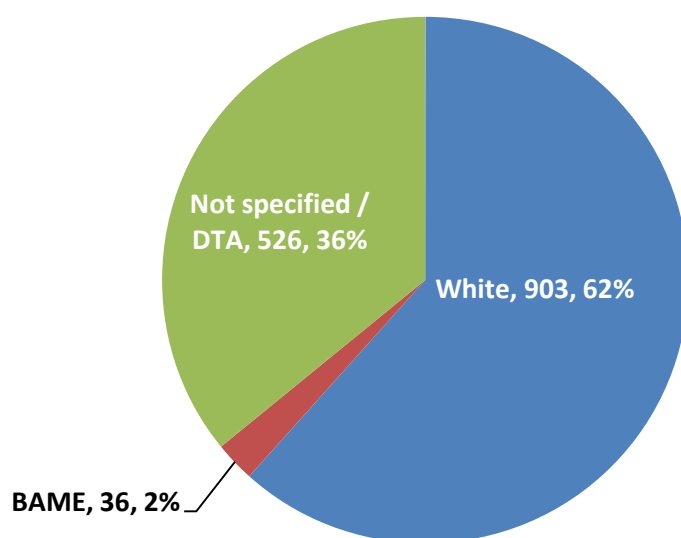
### Total complaints by age 2015-2016



### Total complaints by disability 2015-16



### Total complaints by ethnicity 2015-16



Since the last Equalities Information Report there has been a decrease in the number of complaints received from people with a disability, bringing it more in line with levels of disability in the local population, however there are still a large proportion of 'not specified' responses.

## 4.2 Customer satisfaction

Once a quarter the customer contact team asked questions relating to customer satisfaction. This survey is an aggregate of the four quarterly surveys carried out in 2015-16.

Please note that in some cases, numbers of responses are dependent on a combination of questions being answered. Total responses to a given question will therefore not always add up to the total number of customers surveyed.

A total of 3,677 surveys were completed.

The table below indicates respondent's satisfaction levels by ethnicity:

| <b>Ethnic Group</b>                  | <b>Ethnic composition - population of Norwich (%)</b> | <b>Ethnic composition of survey</b> | <b>Good %</b> | <b>Satisfactory %</b> | <b>Poor %</b> | <b>Overall satisfaction %</b> |
|--------------------------------------|---|-------------------------------------|---------------|-----------------------|---------------|-------------------------------|
| Black Asian Minority Ethnic group    | 9.2   | 6.3                                 | 82            | 16                    | 2             | 98.47                         |
| White (including non British groups) | 90.8  | 93.7                                | 84            | 13                    | 3             | 96.98                         |

Numbers may not add to 100 due to rounding. Not all respondents stated their ethnic group – this is based only on those who did.

**Gender:** The table below indicates satisfaction levels by gender.

| <b>Gender</b> | <b>Number of survey responses</b> | <b>Good %</b> | <b>Satisfactory %</b> | <b>Poor %</b> | <b>Overall Satisfaction %</b> | <b>Overall satisfaction % (14/15)</b> |
|---------------|-----------------------------------|---------------|-----------------------|---------------|-------------------------------|---------------------------------------|
| Female        | 2181                              | 84            | 13                    | 3             | 97.29                         | 96.18                                 |
| Male          | 1457                              | 84            | 13                    | 3             | 96.70                         | 94.70                                 |

Numbers may not add to 100 due to rounding. Not all respondents stated their gender – this is based only on those who did.

**Age:** The table below indicates satisfaction levels by age.

| Age Group | Number of survey responses | Good % | Satisfactory % | Poor % | Overall satisfaction % | Overall satisfaction % (14/15) |
|-----------|----------------------------|--------|----------------|--------|------------------------|--------------------------------|
| <=19      | 47                         | 89     | 11             | 0      | 100                    | 96.55                          |
| 20-29     | 783                        | 85     | 14             | 1      | 98.98                  | 96.62                          |
| 30-39     | 765                        | 85     | 13             | 2      | 98.04                  | 95.83                          |
| 40-49     | 642                        | 83     | 13             | 4      | 96.26                  | 96.20                          |
| 50-59     | 495                        | 84     | 13             | 3      | 96.97                  | 93.47                          |
| 60-69     | 477                        | 86     | 10             | 4      | 96.02                  | 95.74                          |
| 70-79     | 288                        | 80     | 13             | 7      | 93.06                  | 90.40                          |
| 80-89     | 110                        | 75     | 20             | 5      | 95.45                  | 94.43                          |

Numbers may not add to 100 due to rounding. Not all respondents stated their age – this is based only on those who did.

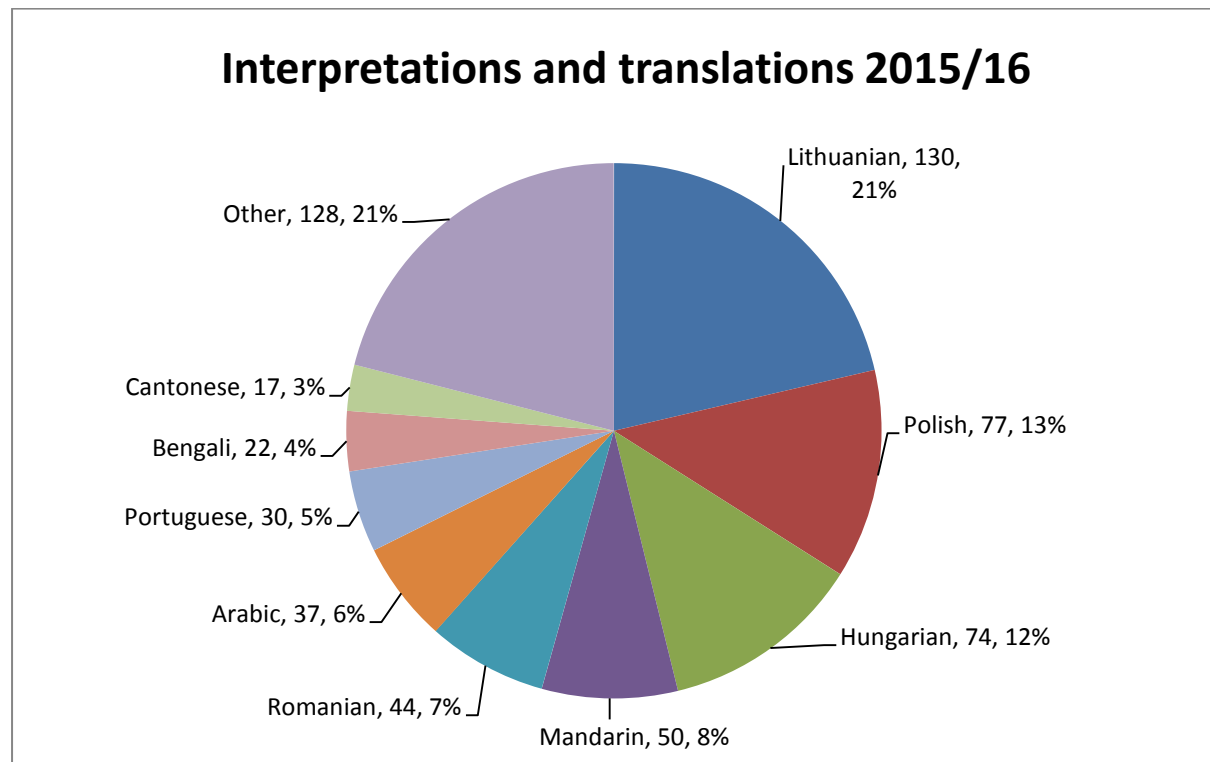
The table below indicates satisfaction levels by disability:

| Disability   | Number of survey responses | Good % | Satisfactory % | Poor % | Overall satisfaction % | Overall satisfaction % (14/15) |
|--------------|----------------------------|--------|----------------|--------|------------------------|--------------------------------|
| Non-disabled | 3019                       | 84     | 13             | 3      | 97.28                  | 95.53                          |
| Disabled     | 594                        | 83     | 13             | 4      | 95.96                  | 94.68                          |

Numbers may not add to 100 due to rounding. Not all respondents stated whether or not they had a disability – this is based only on those who did.

### 4.3 Interpretation and translations

We are part of INTRAN, which is a multi-agency partnership providing language services throughout the Eastern Region. INTRAN interpretation and translation requests for Norwich City Council 2015-2016 were:



This chart shows the numbers of interpreters and translators used by the council for the top most commonly requested languages during the period. The category 'other' includes all languages not otherwise listed.

The numbers of requests are always quite low so any conclusions about patterns are tentative. The main languages represented are broadly the same as in the previous report.

We ensure that we promote the use of professional translation services and issue reminders for employees to use them as needed.



## 5 ■ How we demonstrate we carry out our equality duties

### 5.1 Tackling hate incidents and crimes

We are members of the Hate Free Norfolk network, a Norfolk wide response to hate crimes and incidents where partner agencies work together to improve reporting and responses to incidents and crimes. As part of this partnership, we have participated in and promoted the 'Hate Free Norfolk' campaign, attempting to ensure that people understand what a hate crime or incident is and how they can report it. We are organisational signatories to the Hate Free Norfolk pledge.

#### Hate incidents and hate crimes in Norwich and Norfolk

A hate incident is any incident which is perceived by the person, or any other person as being motivated by prejudice or hatred. It may or may not be a crime. A hate crime is a crime committed against someone because of their disability, gender-identity, race, religion or belief, or sexual orientation.

The system for gathering data by Norfolk Constabulary on hate crimes and incidents has changed since the last Equalities Information Report. This makes it difficult to compare directly with previous data.

| 19/10/2015 - 18/10/2016               |            |            |
|---------------------------------------|------------|------------|
| Hate incidents                        | Norwich    | Norfolk    |
| Race                                  | 107        | 245        |
| Homophobic/Transphobic                | 40         | 85         |
| Religion                              | 14         | 27         |
| Disabled                              | 22         | 41         |
| <b>Total hate incident indicators</b> | <b>183</b> | <b>398</b> |
|                                       |            |            |
| Hate crimes                           | Norwich    | Norfolk    |
| Race                                  | 125        | 349        |
| Homophobic/Transphobic                | 41         | 109        |
| Religion                              | 11         | 17         |
| Disabled                              | 17         | 63         |
| <b>Total hate crime indicators</b>    | <b>194</b> | <b>538</b> |
|                                       |            |            |

*Norfolk Constabulary*

As noted in previous equality information reports, it is likely that the majority of hate crimes or incidents are not reported; therefore higher figures don't always represent more crime, but possibly more reported crime, which could reflect more awareness or confidence in reporting. The data does not prove that there was an increase in hate crimes or incidents due to the EU referendum in Norwich, although July 2016 saw the marginally highest number of both hate crimes and incidents in this period in Norfolk. This also coincides with the council's own hate case and community tension data. The data cannot prove or disprove causality, and owing to the change in reporting discussed above, cannot be compared directly with previous years.

For the period April 2015-March 2016, the highest category of hate incidents reported to the council related to ethnicity with 57 per cent of reports.

## **5.2 Domestic abuse**

The council is an active partner in the Domestic Abuse Sexual Violence Board (DASVB); which as a sub group of the Norfolk Community Safety Partnership, co-ordinates partners' approaches to domestic abuse and sexual violence and ensures lessons are learned from domestic homicide reviews locally.

Employees have, as a result of this partnership, the opportunity to undertake free training on domestic abuse awareness, the domestic abuse, stalking and harassment risk assessment process, so called 'honour' based abuse, female genital mutilation (FGM), online abuse, 'sexting' and grooming.

DASVB contributes to an annual domestic abuse conference for practitioners and strategic managers and co-ordinates partners' activity on campaigning to raise awareness of domestic abuse and sexual violence, promoting healthy relationships and the support services available. This annual high profile campaign takes place on or close to White Ribbon Day on 25 November; the International Day for the Elimination of Violence Towards Women. As a council that has been awarded White Ribbon status for its work in support of this agenda, Norwich City Council led on a range of activities in all four Norwich neighbourhoods, as well as the city centre.

Norwich City Council has provided managers and team leaders with full guidance to enable them to support employees and colleagues experiencing domestic abuse. The council recognises the significant impact domestic abuse can have on an individual and seeks to protect and support them to be safe.

Norwich City Council is this year leading on a change project identified last year as part of the countywide Domestic abuse change programme, focusing on domestic abuse communications and campaigning. This is a three phased project, launched in June with 'I Walked Away'. Subsequent campaign phases of 'Is This You?' and 'Standing together against domestic abuse' follow in the run up to Christmas and in the New Year.

Norwich City Council has 22 White Ribbon Ambassadors and Advocates, including council members, MPs and the County Chief Constable, all working to address the stigma associated with domestic abuse to better safeguard people. In addition, the council now has 19 fully trained Domestic abuse champions amongst its employees and members, all supporting colleagues to be better informed about domestic abuse, to feel more confident in asking those difficult questions of individuals they suspect are being abused and fully knowledgeable on which support services to refer them to.

### **5.3 Training undergone by Norwich City Council employees**

- Leading equality and diversity (mandatory for managers)
- Equality and diversity training (mandatory for all employees)
- Mental health awareness for managers (mandatory)
- Raising mental health awareness (for employees)
- Customer Service Excellence face-to-face training (including a human rights element - mandatory)
- Human Library event
- Child sexual exploitation awareness
- Recruitment and selection training for managers (mandatory)
- Hate crime e-learning package
- Equalities and diversity e-learning package (mandatory for all new employees)
- Bullying and harassment
- Community safety problem solving
- INTRAN training
- Management training programme – modular
- Safeguarding
- Tackling drug and alcohol abuse
- Tackling hate crime
- Welfare reform act
- Warm and welcome in Norfolk
- Workshop to raise awareness of the national Prevent programme

### **5.4 Working with communities**

We support a range of voluntary and community sector activities either through funding, support, advice or signposting, as well as undertaking some activities ourselves:

- We have held the launch of the annual Refugee Week here at City Hall for the past six years (launch attended by the Lord Mayor of Norwich or the Sheriff of Norwich and councillors).
- We have worked in partnership with the Women's Institute to create a giant white ribbon to bring attention to domestic abuse week, specifically engaging with communities of interest to help them interact with the project
- We have funded numerous community groups from minority communities, often applying for any funding for the first time, for activities in the city through small grants.
- We have provided grants for Norwich Mind Festival of Cultures to be held in the city centre celebrating cultural diversity in Norwich.
- Norwich Asylum Seekers and Refugees Forum (Nasref) hold regular meetings in our meeting rooms and are supported by our officers.
- We are members of the Norfolk Community Relations and Equality Board (CREB), a new county-wide network which replaces the former county cohesion network.

- We send out regular community bulletins which enable those who might not otherwise get a chance for a wider audience, to be aware of opportunities available to them including training opportunities, shared activities and events, and success stories.
- We run regular City Hall tours for communities to meet employees and councillors and gain an understanding of how the council and the democratic process works.
- LGBT History Month – we have hosted events at City Hall for four years running and support groups working on related activities.
- Norwich Access Group regularly receives a grant. They are a local pressure group of disabled people who are actively involved in trying to improve access for disabled people to all aspects of life in the city of Norwich and its surrounding area. This group liaises with the council's food safety team on the Business Merit scheme, which recognises firms which provide added benefits for the health and wellbeing of their customers.
- When updating our website we used the feedback from disabled volunteers with visual impairments and learning disabilities.
- We support the Women's Institute, which runs annual International Women's Day events.
- We provide financial and in-kind support to the Norwich Older People's Forum.
- We have held the launch of annual Black History Month here at City Hall for the last six years (launch attended by the Lord Mayor or Sheriff and councillors) and supported groups working on events for this week. In 2016 this has included the Norwich Chinese community centre running a cultural exchange for Black History month which was a unique opportunity.
- Norwich Door-to-Door receive a grant to fund core costs delivering subsidised on demand ('dial a ride' type) accessible bus transport, for disabled and mobility-impaired residents.
- Age UK Norwich received a grant via a consortium that Norwich City council help fund to provide social welfare advice, casework and representation services in order to reduce financial and social exclusion and inequalities
- We organise regular networking sessions for individuals, groups, organisations, agencies, and councillors from or serving communities of interest city-wide and those active in neighbourhoods
- We organise workshops and one-to-one work focusing on capacity building of community groups from communities of interest to strengthen community leadership and to support community groups from communities of interest to take action themselves.
- We organise workshops on applying for funding and improving funding applications, as well as workshops on specific funds and meeting those funders.
- On-going community engagement at a neighbourhood level and specifically for communities of interest working across the city, supporting them to feel part of the city and its wider VCSE community.
- Ensuring communities of interest are represented in the co-design and development of new projects and are aware of opportunities available to engage with the council.

**If you would like further information about the contents of this report please contact the council by calling 01603 212273 or via email at [strategy@norwich.gov.uk](mailto:strategy@norwich.gov.uk)**



18 January 2017

**Report of** Head of neighbourhood housing services

**10**

**Subject** Mutual exchange incentives – better outcomes for tenants

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## **Purpose**

This report proposes a change to the current mutual exchange incentive scheme that Norwich City Council currently offers in order to make it more cost-effective and targeted to help the most vulnerable.

## **Recommendation**

To agree to:

1. Note the findings of the review of the Mutual Exchanges incentives scheme
2. Retain the key elements of the incentives policy including the qualification criteria and payment levels as a guideline originally set and added to in April 2014
3. Change the emphasis from a mandatory 'entitlement' scheme to a discretionary scheme offering incentives and payments ONLY where to do so will help the exchange to happen to the mutual benefit of both the tenants involved AND the council. I.e. where finance (rent arrears) or lack of prohibits the exchange from taking place.
4. Augment the existing scheme and to offer a discretionary payment to tenants who mutually exchange in circumstances that meet the following criteria:
  - a) Where at least one of the properties in a mutual exchange has had disabled adaptations.
  - b) Where one of the parties in a mutual exchange is fleeing domestic abuse or is a victim of hate/mate crime
  - c) In other extenuating circumstances for vulnerable persons (e.g. where the position or condition of the property is exacerbating health issues)
5. Cap payments at £1500 per tenant or £2500 for one exchange procedure.

## **Corporate and service priorities**

The report helps to meet the corporate priority a healthy city with good housing

## **Financial implications**

The proposed scheme will be resourced from the existing budgetary provision of £25,000 allocated to the current mutual exchange scheme.

**Ward/s:** All Wards

**Cabinet member:** Councillor Harris - Deputy leader and council housing

**Contact officers**

|  |              |
|--|--------------|
| Tracey Fordham, housing operations manager         | 01603 213581 |
| Grant Lockett, tenancy services and income manager | 01603 212180 |
| Phyllida Molloy, service development officer       | 01603 212817 |

**Background documents**

None



# Report

## Background

### Supporting tenants to mutually exchange

1. Section 92 of the Housing Act 1985 states that a tenant in a secure tenancy may, with the written consent of the landlord, assign the tenancy to another secure tenant who satisfies the conditions.
2. In February 2014, the Department for Communities and Local Government (DCLG) set out seven steps to guide local authorities and social landlords in how to promote mobility through mutual exchange. One such step was to make mutual exchange a viable and attractive proposition, for example by introducing financial incentives, undertaking repairs as an incentive or providing flexibility to the grounds on which consent for a mutual exchange is withheld.

### Council policies

3. Norwich City Council's Tenancy Policy states that eligible tenants can exchange their home with another council tenant or housing association tenant.
4. Mutual exchanges are essentially tenant led process which can be an effective and simple way to find a new home of a more appropriate size and in a preferred location. From a Council point of view this can help with better use of stock, help ensure affordability, may help resolve a local issue and reduce void cost as no costs are involved in preparing the properties for re-letting (beyond utility safety checks) that would ordinarily be incurred by the Council during a transfer process via the Council's waiting list.
5. On 18 May 2005 Cabinet concerned at low take up of mutual exchanges agreed to implement a mutual exchange incentive scheme with the aim of encouraging mutual exchanges and making them easier and more attractive to tenants.
6. The scheme incentivised tenants for exchanging a house for a flat or maisonette, and giving up 2 or more bedrooms if they are under-occupying (ensuring best utilisation of housing stock) and a 'pick list' of services were also offered to boost the incentive, for example cooker reconnection, washing machine reconnection etc.

The scheme is detailed below:

A tenant would qualify for an incentive payment provided:-

- They are 'giving up' a house (except for a 1-bedroom house) in exchange for a flat or maisonette

*and/or*

- They are 'giving up' 2 bedrooms or more and moving to a flat or maisonette

Contributions to Removal Expenses and Cash Incentive

Removal costs            £150 for all qualifying tenants

*plus*

Incentive 1            £250 if exchanging from house to a flat or maisonette

*plus*

Incentive 2            £250 if 'giving up' 2 bedrooms or more

## Services

Each tenant would also be offered services from the 'pick list' below if required to facilitate the exchange, up to a maximum value of £130: -

|                              |        |              |
|------------------------------|--------|--------------|
| Cooker reconnection          | Cost = | £68.33 (max) |
| Washing machine reconnection | Cost = | £19.99 (max) |
| New door locks               | Cost = | £56.58       |
| New WC seats                 | Cost = | £29.83 ea    |
| Use of a skip                | Cost = | £111.11      |
| Garden vegetation clearance  | Cost = | £124.40      |

Only tenants of the Council would be eligible for the incentive payments, not tenants of other landlords who exchange into Council accommodation. Additionally, tenants who have received the incentives would be disqualified from receiving the incentives should they exchange again within 5 years.

## Policy reviews

In April 2014 a review of the incentive scheme was undertaken due to the implications of the bedroom tax where tenants were under-occupying and therefore housing benefit did not cover the full rent. Whilst there was no overall change to the policy, the scheme was amended to incentivise the giving up any number of bedrooms and an additional element incorporated where £150 was awarded to anybody who exchanged to a property that they could have been offered under the choice based lettings (CBL) allocations scheme with minor amendments approved to the pick list of services offered.

7. The financial incentive was introduced to reduce the number of people transferring and in turn reduce the associated high void costs. A mutual exchange allows secure council tenants to exchange with another council or housing association tenant whilst a transfer is managed through the Choice Based Lettings (CBL) allocations scheme and involves properties being void for a period of time.
8. Following concerns of a high spend in this area the incentive scheme was reviewed again in October 2016 to see if it was meeting its original aims.
9. The review covered the exchanges that had taken place during 2015/16 and found:

10. 200 of our properties were mutually exchanged during 2015/16. Of these, 107 were exchanged between Norwich City Council tenants and 93 exchanged with a registered provider or other local authority tenants.
11. Of the 200 properties that were mutually exchanged, 57 properties were downsized, 50 upsized and 93 exchanged to a property of the same size.
12. 98 exchanges received an incentive payment. The value of the incentives totalled £32,234.43.
13. There are three elements of the cash reward incentive and tenants can potentially receive 0, 1, 2 or all 3 elements. The table below shows the number of payments made in 2015/16 as a result of meeting each incentive criteria. The largest number of payments made were to tenants who exchanged to a property that they could have been offered under the CBL allocations scheme.


| Incentive   | 2015/16 |
|---|---------|
| 1) £150 to anybody exchanging from a house to a flat or maisonette  | 19      |
| 2) £250 for each bedroom given up, regardless of the type of property the tenant moves from or to                 | 53      |
| 3) £150 to anybody who exchanges to a property that they could have been offered under the CBL allocations scheme | 71      |

6. During the review it was affirmed that although mutual exchange remained an attractive option to facilitate a move and that there are many more benefits to both the tenants and the council for a mutual exchange to proceed compared to a transfer, tenants who are affected by the bedroom tax are sometimes hampered from downsizing as they may have accrued rent arrears and/or are not able to afford the costs associated with moving.
7. Further analysis of the expenditure revealed that *there is no compelling evidence* to suggest that the mutual exchange incentive was the motivation of the exchanges completed.
8. Indeed, what was envisaged as an incentive was being operated as an 'entitlement' and could be viewed as rewarding tenants for moving largely as a result of their own personal choice. A number of payments have been made even when tenants have moved to a property of the same size and where their subsequent housing need has been met by another registered provider or local authority.
9. Research of other housing providers shows that most organisations do not offer any incentive, and those that do, offer a discretionary fund focused on specific circumstances or tenants. For example the London Borough of Wandsworth make discretionary payments to support tenants to move only if the exchange is a perfect fit.

## Using a discretionary incentive

10. It is anticipated that, in order to help tenants to downsize as a result of the bedroom tax, up to £300 per payment should be sufficient to clear arrears and help with moving costs. In 2015/16, 53 of those who mutually exchanged downsized and of these only 11 received payments to help clear their arrears.
11. There are currently 1990 tenants who have a weekly reduction in their housing benefit entitlement but` it is difficult to predict how many tenants may wish to downsize via mutual exchange as a result of being subject to the bedroom tax.
12. For tenants with disabilities, it can be expensive for the council to adapt a property and there is not always a supply of properties with existing adaptations available for a transfer. If the needs of both parties can be met by mutual exchange, this should be encouraged and incentivised in order to secure a suitable property and potentially save the council significant sums of money required for adaptations. An example would be a tenant no longer requiring adaptations in their home and is able to find an exchange with someone who does require them. Each tenant may then qualify for a discretionary payment in order to help fund and incentivise the move.
13. Tenants who have arrears are not normally allowed to exchange. The council may consent to an exchange where there are special circumstances that means an exchange should be allowed to take place (for example where a resident is the victim of domestic abuse or hate crime) and a discretionary payment may be made to help clear some/all of the tenant's arrears and help with moving costs. In circumstances where not all arrears are cleared, the rent arrears will be transferred to the new tenancy providing an agreement has been reached with the tenant to clear them over a reasonable time.
14. Following this review, it is therefore proposed to:
  - a) Retain the key elements of the incentives policy including the qualification criteria and payment levels as a guideline originally set and added to in April 2014
  - b) Change the emphasis from a mandatory 'entitlement 'scheme to a discretionary scheme offering incentives and payments ONLY where to do so will help the exchange to happen to the mutual benefit of both the tenants involved AND the council. I.e. where finance (rent arrears) or lack of prohibits the exchange from taking place.
15. It is further proposed to augment the existing scheme and to offer a discretionary payment to tenants who mutually exchange in circumstances that meet the following criteria:
  - a) Where at least one of the properties in a mutual exchange has had disabled adaptations.
  - b) Where one of the parties in a mutual exchange is fleeing domestic abuse or is a victim of hate/mate crime
  - c) In other extenuating circumstances for vulnerable persons (e.g. where the position or condition of the property is exacerbating health issues)
16. The payments will be capped at £1500 per tenant or £2500 for one exchange procedure.

17. By implementing these recommendations, payments to facilitate mutual exchanges in the future will be more cost-effective and are focused on the most vulnerable tenants.

|                                     |  |  |
|-------------------------------------|--|--|
| <b>Integrated impact assessment</b> |  |  <b>NORWICH</b><br>City Council |
|                                     |  |  |
| <b>Report author to complete</b>    |  |  |
| <b>Committee:</b>                   | Cabinet  |  |
| <b>Committee date:</b>              | 18 January 2017  |  |
| <b>Director / Head of service</b>   | Head of neighbourhood housing services                   |  |
| <b>Report subject:</b>              | Mutual exchange incentives – better outcomes for tenants |  |
| <b>Date assessed:</b>               | 28 November 2016   |  |
| <b>Description:</b>                 |  |  |

|  | Impact                              |                                     |                          |   |
|--|-------------------------------------|-------------------------------------|--------------------------|---|
| Economic<br>(please add an 'x' as appropriate)                             | Neutral                             | Positive                            | Negative                 | Comments  |
| Finance (value for money)  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Expenditure will be more cost effective and will help the most vulnerable to move to accommodation that is suitable and more affordable |
| Other departments and services<br>e.g. office facilities, customer contact | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| ICT services   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Economic development   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Financial inclusion  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
|  |                                     |                                     |                          |   |
| Social<br>(please add an 'x' as appropriate)                               | Neutral                             | Positive                            | Negative                 | Comments  |
| Safeguarding children and adults   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| <u>S17 crime and disorder act 1998</u>                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Human Rights Act 1998  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Health and well being  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
|  |                                     |                                     |                          |   |
| Equality and diversity<br>(please add an 'x' as appropriate)               | Neutral                             | Positive                            | Negative                 | Comments  |
| Relations between groups<br>(cohesion)                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |

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

|   |
|---|
| <b>Recommendations from impact assessment</b> |
| <b>Positive</b>                               |
| Value for money                               |
| <b>Negative</b>                               |



|                |
|----------------|
|                |
| <b>Neutral</b> |
|                |
| <b>Issues</b>  |
|                |



**Report to** Cabinet  
18 January 2017  
**Report of** Director of regeneration and development  
**Subject** Update to the private sector financial assistance policy

---

**Item**

11

### **Purpose**

To seek approval for an additional financial assistance package to be included in the council's existing private sector financial assistance policy for home repair, improvement and adaptation.

### **Recommendation**

To amend the existing private sector financial assistance policy to add the ability to offer a 'top-up' to a facilities grant as detailed in the report.

### **Corporate and service priorities**

The report helps to meet the corporate priority to provide a healthy city with good housing

### **Financial implications**

To be funded entirely by capital grant. (*Better care fund*).

**Ward/s:** All Wards

**Cabinet member:** Councillor Bremner – Environment and sustainable development

### **Contact officers**

|                  |                           |              |
|------------------|---------------------------|--------------|
| Paul Swanborough | Strategic housing manager | 01603 212388 |
| Emma Smith       | Housing strategy officer  | 01603 212937 |

### **Background Documents**

None

# Report

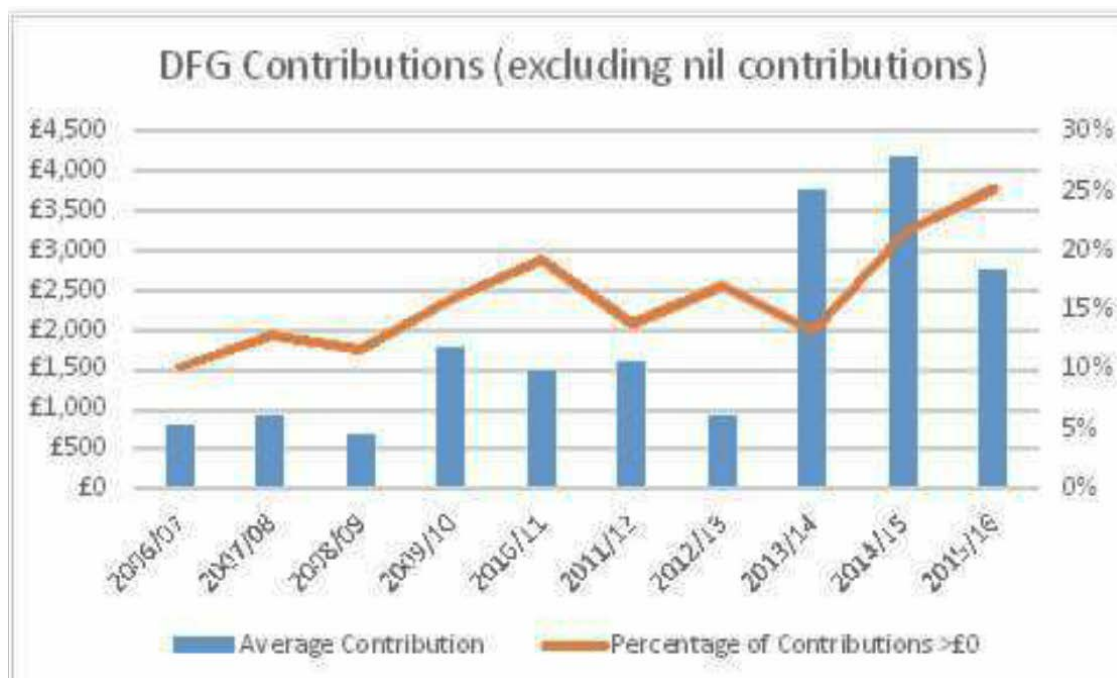
## Background

1. The council has a statutory duty to provide disabled facilities grants. These are currently funded through the better care fund which is administered by Norfolk County Council.
2. Disabled Facilities Grants are available to all residents of Norwich including those living in council homes. However, the terms of the self-financing agreement which apply to the operation of the housing revenue account prevent the use of the Better Care Fund to pay for disabled adaptations in council homes. Adaptations in council homes are funded directly by the housing revenue account and tenants are not required to undergo a means test or make a contribution to the cost.
3. This report, therefore, only applies to disabled adaptations carried out in the private sector which includes owner-occupied homes, privately rented accommodation and homes owned by housing associations.
4. The better care fund was increased this year and is predicted to increase again for the next two years and to be maintained to the end of the current parliament. This is due to national policy which recognises that the provision of disabled facilities significantly delays the requirement for residential care and therefore reduces overall care expenditure as well as being preferable for the health and well-being of the clients.
5. National research (Linking Disabled Facilities Grants to Social Care Data, Foundations 2015) has shown that people, who have an adaptation in their home and later move into care, do so some four years later than those who have not had adaptations carried out. With a residential care plan costing around £27,000 per year compared to the average disabled facilities grant costing less than £6,000, adaptations can have a major impact for social care budgets.
6. It is likely, at current level of demand, that Norwich's better care fund allocation will be underspent. Norwich City Council is therefore being encouraged to increase take-up of disabled facilities grants to ensure that people who need adaptations do so.

## Client Contributions to the Cost of Disabled Facilities Grants

7. Applicants for disabled facilities grants are required to undertake a statutory means-test which determines what their contribution towards the works should be. This calculates a nominal loan value that the applicant could afford to support. The reality, however, is that many clients with small contributions have insufficient savings or the spare income to support a loan and this is reflected in a drop-out rate from applicants in that category which has grown to around 25% (or approximately 40 cases a year).
8. The current mandatory means test is complex and tends to penalise those with housing costs that are higher than the standard amount specified or where the standard allowances for overall living costs are too low. It therefore works against the government's intentions to increase preventative spending on disabled adaptations.

9. This means that a significant number of disabled residents in Norwich are not receiving appropriate and necessary adaptations which will enable them to live safely and independently in their homes despite government funding being made available for this purpose.
10. The graph below shows the average client contribution levels, excluding nil contributions, over the last 10 years for Norwich clients. The trend line shows the percentage of cases where the client has been required to make a contribution. The block graph shows that contributions have increased in size in recent years although household incomes have generally decreased in the same time period.



## Proposal

11. In order to ensure that applicants do not withdraw and that full use is made of the better care fund it is proposed to offer a 'top-up' grant of up to £5,000 toward the contribution required by the means-test.
12. The council can offer this grant using its powers under the Regulatory Reform (Housing Assistance) (England and Wales) Order 2002 to provide financial assistance to adapt and improve living accommodation.

## Cost and Risk

13. Based on an estimated 40 extra cases per year, at an average capital expenditure of £5,478 per case we would expect to increase annual expenditure on disabled facilities grants by approximately £220,000.
14. Total capital expenditure on disabled facilities grant for 2016-17 is currently predicted to be £600,000. This compares with a better care fund allocation of £882,000. It is therefore considered that there is currently sufficient funding available within the allocation to support this policy.

15. The council can limit the risk of overspending the better care fund allocation by making the offer of the top-up grant dependent on available funds. If demand increases to a point where there is insufficient available capital to offer a top-up then the client would be offered a choice of proceeding with a disabled facilities grant only (including any contribution) or waiting for funding to become available. The council would not, therefore, be in breach of its statutory duty to approve a disabled facility grant to an eligible applicant.
16. It is proposed that the offer of top-up grant would be suspended at the point at which the predicted year-end expenditure reached 90% of the available capital budget.
17. Applications for disabled facility grants cannot be placed on a waiting list due to the requirement to determine them within a six month period. However, there is the ability under the governing legislation to delay payment for up to six months to enable budgets to be managed across financial years. That mechanism, combined with the proposed suspension point will enable the capital funding to be managed in a way that prevents the need for the council to make a capital contribution to this programme.

## Integrated impact assessment



**NORWICH**

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

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

### Report author to complete

|                         |   |
|-------------------------|---|
| <b>Committee:</b>       | Cabinet   |
| <b>Committee date:</b>  | 18 January 2017   |
| <b>Head of service:</b> | Andy Watt   |
| <b>Report subject:</b>  | Update to the Private sector financial assistance policy  |
| <b>Date assessed:</b>   | 15 December 2016  |
| <b>Description:</b>     | Integrated impact assessment for an update to the Private sector financial assistance policy seeking the approval of a 'top-up' grant for disabled facilities grants. |

|  | Impact                              |                                     |                          |   |
|--|-------------------------------------|-------------------------------------|--------------------------|---|
| Economic<br>(please add an 'x' as appropriate)                             | Neutral                             | Positive                            | Negative                 | Comments  |
| Finance (value for money)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | Funding has already been approved for this programme  |
| Other departments and services<br>e.g. office facilities, customer contact | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | We already offer financial assistance. There will only be minor changes to existing call scripts and processes.                 |
| ICT services   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | Minor changes to Civica processes will be required  |
| Economic development   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Financial inclusion  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Financial assistance may be extended to people with low income but who do not qualify for benefits                              |
| Social<br>(please add an 'x' as appropriate)                               | Neutral                             | Positive                            | Negative                 | Comments  |
| Safeguarding children and adults   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| <u>S17 crime and disorder act 1998</u>                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Human Rights Act 1998  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Health and well being  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | It will help to increase the numbers of people who are able to continue to live healthy, independent, lives in their own homes. |



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

| Recommendations from impact assessment |
|--|
| Positive                               |
|  |
| Negative                               |
|  |
| Neutral                                |
|  |
| Issues                                 |
|  |

**Report to** Cabinet  
18 January 2017  
**Report of** Director of Neighbourhoods  
**Subject** Installation of sixty thermodynamic hot water systems

**Item**

12

## **KEY DECISION**

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### **Purpose**

To seek approval to award a contract for the installation of sixty thermodynamic hot water systems on council owned homes.

### **Recommendation**

To award a contract for the installation of Thermodynamic hot water systems to 60 council owned homes to Impact Renewable Energy Ltd.

### **Corporate and service priorities**

The report helps to meet the corporate priority “Decent housing for all” and the service plan priorities to continue to deliver the programme of making all council homes decent, to maximise the use of our housing stock and to enable new homes.

### **Financial implications**

The value of the contract will be £184,766. Funding for this will be taken from the capital budget allocated to improve energy efficiency of council owned homes.

### **Wards**

Mile Cross, Wensum, Bowthorpe and University

**Cabinet member** Councillor Harris – Deputy Leader and Council Housing

### **Contact officers**

Gary Atkins – Associate Director, NPS Norwich Ltd 01603 227902

Jay Warnes – Head of Strategic Property Services, NPS 01603 227906  
Norwich Ltd

### **Background documents**

None

# Report

## Background

1. Thermodynamic hot water systems include a panel which sits on the roof of a property. They are similar in appearance to a photovoltaic (PV) panel however, they are dependent on air temperature rather than sunlight. The panels use the sun's thermal energy to provide some free hot water all through the year.
2. The work contributes to the council's aim of reducing fuel poverty across the city and in addition, to reducing the risk of tenants falling into arrears due to rising energy costs. This may also release money into the local economy that would have otherwise gone towards fuel bills.
3. To date, Norwich City Council has successfully installed 198 thermodynamic hot water systems to its housing properties. The properties which have been highlighted for these systems have older boilers and hot water systems which are due for replacement during 2017-18. Thermodynamic systems use a certain type of cylinder which will be installed prior to a boiler upgrade. This will reduce the cost of the heating upgrade next financial year.
4. Impact Renewable Energy Ltd has already successfully installed over 170 of these thermodynamic systems to the council's housing stock.
5. The panels and associated works would be maintained and repaired by Impact Renewable Energy Ltd.

## Procurement process

6. A contract notice was placed on the council's e-procurement website and on the Contracts Finder national portal to ensure an open competitive tendering process.
7. Only one supplier expressed an interest in the opportunity and submitted a tender bid.
8. The evaluation of the tender revealed that Impact Renewable Energy Ltd provided comprehensive evidence of being able to successfully deliver the required outcomes contained within the tender documentation and specification.
9. The price of installation is comparable to previous installations. The technology has become widely used throughout the country which has resulted in more economically efficient installations.

## Integrated impact assessment



**NORWICH**  
City Council

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

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

### Report author to complete

|                         |   |
|-------------------------|---|
| <b>Committee:</b>       | Cabinet   |
| <b>Committee date:</b>  | 18 January 2017   |
| <b>Head of service:</b> | Lee Robson  |
| <b>Report subject:</b>  | Installation of 60 Thermodynamic Hot Water Systems  |
| <b>Date assessed:</b>   | December 2016   |
| <b>Description:</b>     | To seek approval to award a contract to Impact Renewable Energy Ltd for the installation of thermodynamic panels to 60 council owned homes. |

|   | Impact                              |                                     |                          |  |
|---|-------------------------------------|-------------------------------------|--------------------------|--|
| <b>Economic</b><br>(please add an 'x' as appropriate)                             | <b>Neutral</b>                      | <b>Positive</b>                     | <b>Negative</b>          | <b>Comments</b>  |
| <b>Finance (value for money)</b>  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | This procurement process ensures the council achieves the best value for money. The tender return is competitively priced and lower cost compared to previous installations.   |
| <b>Other departments and services</b><br>e.g. office facilities, customer contact | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| <b>ICT services</b>   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| <b>Economic development</b>   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | The thermodynamic panels will reduce energy bills and fuel poverty for tenants. In lowering energy bills tenants have more money, some of which may be spent on the local economy.<br>Through employment of local labour, the project assists in social economic benefits for the city and county. |
| <b>Financial inclusion</b>  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | As above   |
| <b>Social</b><br>(please add an 'x' as appropriate)                               | <b>Neutral</b>                      | <b>Positive</b>                     | <b>Negative</b>          | <b>Comments</b>  |
| <b>Safeguarding children and adults</b>   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| <b><u>S17 crime and disorder act 1998</u></b>                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |

|  |                                     |                                     |                          |  |
|--|-------------------------------------|-------------------------------------|--------------------------|--|
| Human Rights Act 1998  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Health and well being  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> |  |
| <b>Equality and diversity<br/>(please add an 'x' as appropriate)</b> | <b>Neutral</b>                      | <b>Positive</b>                     | <b>Negative</b>          | <b>Comments</b>  |
| Relations between groups<br>(cohesion)                               | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Eliminating discrimination &<br>harassment                           | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Advancing equality of opportunity                                    | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| <b>Environmental<br/>(please add an 'x' as appropriate)</b>          | <b>Neutral</b>                      | <b>Positive</b>                     | <b>Negative</b>          | <b>Comments</b>  |
| Transportation   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Natural and built environment  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | The project introduces new and proven technology to these homes thus enhancing the image of the housing stock. Property surveys are carried out ahead of the natural stock condition surveys increasing additional asset data. |
| Waste minimisation & resource<br>use                                 | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Pollution  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Reduction in carbon footprint of affected properties.  |
| Sustainable procurement  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | E-procurement.   |
| Energy and climate change  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | The thermodynamic project will contribute to reducing the council's overall carbon emissions and footprint.  |

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

|   |  |
|---|--|
| <b>Recommendations from impact assessment</b>   |  |
| <b>Positive</b>   |  |
| Reduced fuel bills therefore preventing fuel poverty, reduction in carbon emissions within the housing stock and for the city contributing to our overall reduction target. |  |
| <b>Negative</b>   |  |
|   |  |
| <b>Neutral</b>  |  |
|   |  |



**Report to** Cabinet  
14 December 2016  
**Report of** Director of regeneration and development  
**Subject** Procurement of repairs to City Hall clock tower

**Item**

13

## KEY DECISION

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### Purpose

To consider the procurement process for the repairs to City Hall clock tower and to request approval to place the order

### Recommendation

To approve the award of the contract for repairs to City Hall clock tower to JB Specialist Refurbishments Ltd.

### Corporate and service priorities

The report helps to meet the corporate priority a safe, clean and low carbon city

### Financial implications

The financial consequences of this report are the award of a contract for repairs to the City Hall clock tower with a tendered cost of £180,573.65, which is included within the general fund capital programme financial forecasts and budgets for this financial year (2016/17).

**Ward/s:** Mancroft

**Cabinet member:** Councillor Stonard - Resources and business liaison

### Contact officers

Gary Atkins, Associate Director of Operations 01603 227903

Carol Marney, Head of Operational Property Management 01603 227904

### Background documents

None

# Report

## Background

1. This contract is for essential maintenance to the copper finials at the top of the clock tower. They need to be removed, cleaned, tested, repaired, recoated and then replaced in order to give confidence that they will remain securely fixed for the next sixty years. The greatest cost is the erection of scaffolding so this will be utilised to repair the pointing on the clock tower where necessary as part of the project as well.

## Tender process

2. The opportunity was advertised on Contracts Finder and Norwich City Council's tendering portal on 30 September 2016 with a return date of 31 October 2016.
3. Suppliers were asked to submit details of their organisation in terms of finance, contractual matters, insurances, quality assurance, environmental standards, health and safety, equality and diversity credentials, references and previous experience. These aspects were then evaluated to ensure that suppliers met the Council's basic requirements.
4. At the same time suppliers submitted details in the form of method statements proposing how they would meet the requirement for the work package and the price that they would charge to carry out this work. These method statements were evaluated once it had been confirmed that the supplier had met the Council's basic requirements.
5. Five tenders were returned by the closing date.

## Tender evaluation

6. The supplier selection process required suppliers to complete a questionnaire. The responses given were evaluated against pre-determined criteria. This quality assessment carried a maximum of 65% of the marks. The lowest price was allocated 35% of the marks and marks were then deducted, pro-rata, with each increasing tender price.
7. The supplier with the highest cumulative score is deemed the best value submission. The highest scoring company was JB Specialist Refurbishments Ltd. It is recommended that they are awarded the contract at the submitted price of £180,573.65

## Integrated impact assessment



**NORWICH**  
City Council

### Report author to complete

|                         |  |
|-------------------------|--|
| <b>Committee:</b>       | Cabinet  |
| <b>Committee date:</b>  | 14 December 2016   |
| <b>Head of service:</b> | Head of city development   |
| <b>Report subject:</b>  | Procurement of repairs to City Hall clock tower                      |
| <b>Date assessed:</b>   | 1 December 2016  |
| <b>Description:</b>     | Repairs to copper finials and partial re-pointing of the clock tower |

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

|   | Impact                              |                                     |                          |   |
|---|-------------------------------------|-------------------------------------|--------------------------|---|
| Advancing equality of opportunity                           | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| <b>Environmental<br/>(please add an 'x' as appropriate)</b> | <b>Neutral</b>                      | <b>Positive</b>                     | <b>Negative</b>          | <b>Comments</b>   |
| Transportation  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Natural and built environment                               | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | The contract will ensure the built environment is maintained and improved to a high standard.   |
| Waste minimisation & resource use                           | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Pollution   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Sustainable procurement                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Energy and climate change                                   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| <b>(Please add an 'x' as appropriate)</b>                   | <b>Neutral</b>                      | <b>Positive</b>                     | <b>Negative</b>          | <b>Comments</b>   |
| risk management   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <p>1. There is a risk of challenge from an unsuccessful supplier. This risk is mitigated by the fact the value of contracts is below the thresholds in the Public Contracts Regulations. Also the tender has followed an open process with award criteria being based on the lowest compliant tender, but there is always a risk of challenge from unsuccessful suppliers.</p> <p>2. There is a risk that the appointed supplier could fail during the duration of the contracts. This is low risk due to the relatively short nature of the contracts and the planned nature of the works. In addition to this the Council is not investing in the supplier and so the risk is one of service continuity rather than financial, which is further mitigated by the fact the work is planned not responsive in nature.</p> |

| Recommendations from impact assessment     |
|--|
| <b>Positive</b>                            |
| Value for money and the built environment. |
| <b>Negative</b>                            |
|  |
| <b>Neutral</b>                             |
|  |
| <b>Issues</b>                              |
|  |

**Report to** Cabinet  
18 January 2017  
**Report of** Director of neighbourhoods  
**Subject** Award of contracts for structural repairs to Council homes

**Item**

14

## KEY DECISION

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### Purpose

To consider the tender process for contracts for structural repairs and improvements to council homes and to consider the award of the contracts.

### Recommendation

To:

Approve the award of the structural repair and improvement contracts as follows:

1. Somerleyton Gardens and Wilberforce Road – concrete repairs and deck membrane replacement to JB Specialist Refurbishments Ltd.
2. West Pottergate - concrete repairs and deck membrane replacement to Thomas Sinden Ltd.
3. Omnia Ph.4 (William Mear Gardens) – concrete repairs and staircase replacement to Thomas Sinden Ltd.

### Corporate and service priorities

The report helps to meet the corporate priority a healthy city with good housing

### Financial implications

The financial consequences of this report are the award of contracts for structural repairs and improvements with a total tendered cost of £889,152.58, which is included within the Housing Revenue Account financial forecasts and budgets for this financial year (2016/17).

**Ward/s:** Multiple Wards

**Cabinet member:** Councillor Harris – Deputy Leader and council housing

### Contact officers

Gary Atkins, Associate Director of Operations 01603 227903

Carol Marney, Head of Operational Property Management 01603 227904

## **Background documents**

None



# Report

## Background

1. The council has a programme of structural repairs and improvements deemed necessary in order to ensure the housing stock remains in a good state of repair and tenants have quality homes to live in. The contracts covered in this report form a part of this programme of works.
2. The scope of the contracts includes concrete repairs and the replacement of external staircases to Omnia style flats at William Mear Gardens and concrete repairs and deck membrane replacement at West Pottergate, Somerleyton Gardens and Wilberforce Road. The staircases are made of reinforced concrete which has deteriorated to a point where it is more economic to replace rather than repair. The deck membranes protect the concrete walkways between flats from water ingress which causes rusting of the steel reinforcement and subsequent structural failure.

## Tender process

3. The contracts were advertised on the council's e-tendering portal and Business Link/Contracts Finder.
4. Suppliers were asked to submit details of their organisation in terms of finance, contractual matters, insurances, quality assurance, environmental standards, health and safety, equality and diversity credentials, references and previous experience. These aspects were then evaluated to ensure that suppliers met the council's basic requirements.
5. At the same time suppliers submitted details in the form of method statements proposing how they would meet the requirement for the work package and the price that they would charge to carry out this work. These method statements were evaluated once it had been confirmed that the supplier had met the Council's basic requirements.
6. The tender return dates varied between 14 November 2016 and 29 November 2016.

## Tender evaluation

7. The supplier selection process was the same for each contract. The responses given were evaluated against pre-determined criteria. This quality assessment carried a maximum of 60% of the marks. The lowest price was allocated 40% of the marks and marks were then deducted, pro-rata, with each increasing tender price.
8. Four suppliers returned tenders for the first contract and the highest scoring tender was submitted by JB Specialist Refurbishments Ltd.
9. Three suppliers returned tenders for the second contract and the highest scoring tender was submitted by Thomas Sinden Ltd.
10. One supplier returned a tender for the third contract. This was Thomas Sinden Ltd.
11. It is recommended that the contracts be awarded as shown below:

| <b>Contract Title</b>   | <b>Successful Bidder</b>          | <b>Tender Amount</b> |
|---|-----------------------------------|----------------------|
| Somerleyton Gardens and Wilberforce Road - concrete repairs and deck membrane replacement | JB Specialist Refurbishments Ltd. | £260,683.36          |
| West Pottergate – concrete repairs and deck membrane replacement                          | Thomas Sinden Ltd                 | £188,113.80          |
| Omnia Ph.4 (William Mear Gardens) – concrete repairs and staircase replacement            | Thomas Sinden Ltd                 | £440,355.42          |

## Integrated impact assessment



**NORWICH**  
City Council

### Report author to complete

|                         |   |
|-------------------------|---|
| <b>Committee:</b>       | Cabinet   |
| <b>Committee date:</b>  | 18 January 2017   |
| <b>Head of service:</b> | Head of neighbourhood housing services  |
| <b>Report subject:</b>  | Award of contract for structural repairs to council homes   |
| <b>Date assessed:</b>   | 21 December 2016  |
| <b>Description:</b>     | Replacement of external concrete staircases, concrete repairs and replacement waterproof deck membranes to low rise flats |

|  | Impact                              |                                     |                          |  |
|--|-------------------------------------|-------------------------------------|--------------------------|--|
| Economic<br>(please add an 'x' as appropriate)                             | Neutral                             | Positive                            | Negative                 | Comments   |
| Finance (value for money)  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | The tender process ensures that the Council achieves the best value for money at that particular time. |
| Other departments and services<br>e.g. office facilities, customer contact | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| ICT services   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Economic development   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Financial inclusion  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Social<br>(please add an 'x' as appropriate)                               | Neutral                             | Positive                            | Negative                 | Comments   |
| Safeguarding children and adults   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| <u>S17 crime and disorder act 1998</u>                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Human Rights Act 1998  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Health and well being  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |
| Equality and diversity<br>(please add an 'x' as appropriate)               | Neutral                             | Positive                            | Negative                 | Comments   |
| Relations between groups<br>(cohesion)                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |  |

|   | Impact                              |                                     |                          |   |
|---|-------------------------------------|-------------------------------------|--------------------------|---|
| Eliminating discrimination & harassment                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Advancing equality of opportunity                           | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| <b>Environmental<br/>(please add an 'x' as appropriate)</b> | <b>Neutral</b>                      | <b>Positive</b>                     | <b>Negative</b>          | <b>Comments</b>   |
| Transportation  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Natural and built environment                               | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/> | The contract will ensure the built environment is maintained and improved to a high standard. |
| Waste minimisation & resource use                           | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Pollution   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Sustainable procurement                                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| Energy and climate change                                   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |   |
| <b>(Please add an 'x' as appropriate)</b>                   | <b>Neutral</b>                      | <b>Positive</b>                     | <b>Negative</b>          | <b>Comments</b>   |

|                        | Impact                              |                          |                          |   |
|------------------------|-------------------------------------|--------------------------|--------------------------|---|
| <b>Risk management</b> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <p>1. There is a risk of challenge from an unsuccessful supplier. This risk is mitigated by the fact the value of contracts is below the thresholds in the Public Contracts Regulations. Also the tender has followed an open process with award criteria being based on the lowest compliant tender, but there is always a risk of challenge from unsuccessful suppliers.</p> <p>2. There is a risk that the appointed supplier could fail during the duration of the contracts. This is low risk due to the relatively short nature of the contracts and the planned nature of the works. In addition to this the Council is not investing in the supplier and so the risk is one of service continuity rather than financial, which is further mitigated by the fact the work is planned not responsive in nature.</p> |

| Recommendations from impact assessment     |
|--|
| <b>Positive</b>                            |
| Value for money and the built environment. |
| <b>Negative</b>                            |
|  |
| <b>Neutral</b>                             |
|  |

| Issues |
|--------|
|        |

