

Committee Name: Cabinet

Committee Date: 09/06/2021

**Report Title: Corporate Performance and Risk
Report, Quarter Four 2020-21**

Portfolio:	Councillor Waters - Leader
Report from:	Head of strategy and transformation
Wards:	All Wards
OPEN PUBLIC ITEM	

Purpose

To report progress against the delivery of the corporate plan priorities and key performance indicators and to provide an update on corporate risk for quarter four of 2020-21.

Recommendation:

To:

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

Policy Framework

The Council has three corporate priorities, which are:

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

This report meets the Healthy Organisation corporate priority

Report Details

Background

1. This report sets out progress against the key performance indicators (KPIs) that track delivery of the corporate plan priorities. This is the eighth quarterly performance report for the corporate plan 2019-2022.
2. The corporate plan 2019-22 established three corporate priorities: people living well; great neighbourhoods, housing and environment; and inclusive economy. It also contained the objective of maintaining a healthy organisation. The performance framework aims to measure progress against these through over 50 KPIs which monitor delivery of activities and services which contribute to these objectives.
3. This report provides an update on performance against indicators for quarter four of 2020-21. Performance reporting for indicators in this report is based around a traffic light concept where green is on target, amber provides an early warning for possible intervention and red suggests intervention is necessary.
4. This report also incorporates the corporate risk register, which highlights key corporate risks.

Quarter four/ end of year performance summary

5. The below table (figure 1) summarises the number of KPIs under each corporate priority which are RAG rated red, amber or green and the number where data is not available or is not due to be reported for quarter 4. The subsequent table (figure 2) summarises this information for the full performance year 2021-22. This data can be explored in more detail in the performance tables (figures 3-6) featured on subsequent pages.

Figure 1: summary Q4 RAG rating of key performance indicators by corporate priority

Corporate priority	Red	Amber	Green	Not completed	No data this quarter	Total
People Living Well	0	2	4	0	4	10
Great Neighbourhoods	2	4	5	0	3	14
Inclusive Economy	2	2	4	0	1	9
Healthy Organisation	3	2	6	0	3	14
Total	7	10	19	0	11	47

Figure 2: Summary of council-wide KPI performance for 2020-2021

Corporate priority	Red	Amber	Green	Not completed	No data	Total
People Living Well	3	1	6	0	0	10
Great Neighbourhoods	4	5	9	0	2	20
Inclusive Economy	2	2	4	0	1	9
Healthy Organisation	3	1	7	0	3	14
Total	12	9	26	0	6	53

6. Overall council performance reflects a very challenging operating environment, with significant economic and financial challenges for the city and the council, changing resident and business behaviours, and new and changing patterns of demand. The council's C19 recovery blueprint and update report show how the council is responding to these challenges and individual areas of council performance are highlighted below. Specific areas where anticipated performance is not on track are being addressed through service management, organisational change and working with partners. Ultimately this highlights the need for adequate resourcing of local government to ensure resilience of key services, especially in challenging times.
7. Full details of performance against KPIs is included in figures 3-6 which can be seen below. Each table (split by corporate priority) shows performance of each KPI through 2020-2021.
8. A limited amount of data remains unavailable due to issues in gathering data or pauses in service delivery as a result of Covid-19. There are six indicators where delivery of the service or area of work was not possible, or data collection was prevented, as a result of Covid-19. Data for customer satisfaction for the Planning Development Management Service was also not able to be provided for Quarter 4 due to issues with small sample sizes. Some areas of performance also continue to be affected by restrictions due to Covid-19; these are explained in more detail in the commentary against each indicator below.

Figure 3: People living well KPIs

Ref	Indicator	Service area	Target	Inter- vention	Q1 (April - June)	Q2 (July - Sep)	Q3 (Oct - Dec)	Q4 (Jan - Mar)	Q4 commentary	Annual average	Annual commentary
KPIs RAG-rated green for 20-21											
CPI: 47	% of food premises moving from non-compliant to compliant	Environmental Health & Protection	> 80%	72%	87.9%	91.4%	92.5%	94.3%	The team continue to have significant workload resulting from the control of Covid-19 and as each step changes there is an additional requirement for supporting and advising businesses, including food and hospitality businesses. As in the Q3 commentary there is a significant backlog of food premises inspections, including inspections of the large number of new business registrations we have received.	91.53%	It will take time to build up the full picture of the effects of Covid-19 restrictions on the status of the food business stock in Norwich: as restrictions reduce the numbers of inspections will increase, coupled with a period of confirming what businesses have reopened/ changed hands/ closed. The KPI looks healthy currently, largely as a reflection of the positive impact of the work of the food safety team 12 months ago, and it will take time for the impact of the current situation to be fully reflected in the data.
CPI: 65	% people feeling safe (including by protected characteristics)	Early Intervention & Community Safety	60%	54%	65.0%	63.8%	72.5%	59.9%	While only just under target, the data for this performance indicator shows a clear reduction from the previous quarter. Data for Q4 is based on 142 responses, and changes between quarters may be more pronounced due to the	65.29%	How safe people in Norwich feel is impacted by the work of a range of local partners. Norwich City Council actively works with partners to help address these issues, both strategically (at Norfolk County Community Safety Partnership, Domestic Abuse and

									relatively small sample size. The methodology is currently being reviewed for 21-22.		<p>Sexual Violence board and County Lines Strategic Board) and operationally via the ASB team, CCTV team, Norwich early help hub and the safer neighbourhoods initiative (SNI) work.</p> <p>The SNI was also successful in obtaining over £300,000 in grant funding with partners this year, to put in place secure door entry systems, alley gates and fencing in some of the Norwich neighbourhoods more vulnerable to crime.</p> <p>The target for this performance measure was met throughout the last year and we expect the continued work with partners throughout the next year to achieve similar results.</p>
CPI: 61	% of households who asked for help who were prevented from homelessness	Housing	70%	63%	79.5%	80.4%	88.2%	71.2%	Despite a difficult external environment and high levels of approach, the housing options team has maintained its high level of performance. Faced with exceptionally high caseloads, the team's professionalism and focus on providing a specialist, personalised service to clients in housing need has continued to deliver excellent results.	79.82%	Despite a difficult external environment and high levels of approach, whether viewed quarter by quarter or across the year as a whole, results in this most challenging of years have exceeded target with 80% of households who asked for help prevented from homelessness.
CPI: 55	% of new learners engaged through the digital inclusion project reporting an	Strategy & Transformation	> 70%	63%	N/A	84.6%	92.3%	N/A	During Q4 we continued to offer telephone support to people who needed digital skills assistance, as Digital Hubs were not open through lockdown. We offered continuing loaning of equipment through the Digital Stuff Hub and rolled out the borrowing of some new equipment.	88.5% average for quarters reported	Due to Covid, Digital Inclusion delivery in 2020/21 has been much different to previous years. We have pivoted from face to face support to telephone based, increased our equipment loaning to give people internet and digital access at home and also received funding to gift equipment to 39 people

	increase in digital skills and confidence								<p>Case studies collected via the Everyone Connected Project have provided positive qualitative assessment of the impact of these loans.</p> <p>However, due to staffing issues at Voluntary Norfolk (our digital inclusion support delivery partner) data cannot be provided for this KPI for Quarter 4 currently – recruitment is underway to address this.</p>		<p>in the city. We have worked with new partners and explored new ways of remote working. Although we have worked with fewer people than previous years, customer satisfaction with the service is still high, and we continue to support people to achieve better digital skills and confidence and have access to the digital world.</p>
CPI: 51	Proportion of benefit decisions upheld at review stage	Revenue and Benefits	40%	36%	47.1%	54.0%	47.5%	53.1%	<p>Review outcomes in Q4 continue to exceed the 40% target, with 68 of 128 upheld.</p> <p>43 of the 60 revised outcomes were based on new information provided which was not held at the time of the original decision, rather than assessment error.</p>	50.44%	<p>Maintaining the target level across each quarter has led to an annual achievement of 50.3% for all formally reviewed decisions, meaning that 50% of the 527 completed reviews upheld the original assessment decision. This exceeds the target.</p> <p>Of the reviews resulting in a revised benefit decision, 65% of these were due to further information being provided to the council, rather than an assessment error. This is a good achievement for the service and while the KPI is not being carried forward as a KPI in 2021/22, we will continue to monitor at service level.</p>
CPI: 52	Revenue and Benefits satisfaction levels	Revenue and Benefits	76%	68%	88.7%	89.5%	81.9%	85.7%	<p>Q4: Benefits - 79.0% Council Tax - 87.3% Council Tax Recovery - 86.2% R&B Combined - 85.7% Council - 74.9%</p>	86.45%	<p>R&B Combined - 86.3% Council - 78.0%</p> <p>The Revenues & Benefits service has always been a key area providing support to Norwich residents, and even more so in the past year during the</p>

									Levels of satisfaction within the benefits service have reduced on last month, however only 19 customers completed the survey, giving greater impact to the 4 unsatisfactory responses, so it is unlikely to highlight any unusual trends. Council tax recovery satisfaction levels have seen an increase on the last quarter, and overall the Revenues & Benefits service maintains customer satisfaction levels above the corporate target.		pandemic. While dealing with a significantly increased workload due to the multiple changes to welfare, revenue and recovery legislation, alongside the logistical issues caused by COVID, the year-end results show the team have continued to provide high levels of customer service to those who often need our help the most.
KPIs RAG-rated amber for 20-21											
CPI: 58	% of tenants feeling safe	Housing	> 60%	54%	62.5%	43.8%	63.9%	Sample size too small to be reliable	The result of 32% for Q4 is based on responses from just 17 tenants out of over 14,000 homes that we provide. As such, the number is not sufficient to form the basis of future actions. The low numbers involved also explain the volatility of this KPI, which has shown results of 63%, 44% and 64% in the first three quarters of this year. Any sustained downturn in results, which we have not seen yet, would require further investigation and action. The team is looking at how we can get a more meaningful response in 2021-22 as this remains an important area of concern.	55.72% of all asked throughout the year	The low number of responses to this survey (relative to the 14,000 homes it represents) is a major factor in the volatility of this KPI, which has shown results of 63%, 44%, 64% and 32% in the four quarters of this year. Any sustained downturn in results, which we have not seen yet, would require further investigation and action. The team is looking at how we can get a more meaningful response as this remains an important area of concern.

KPIs RAG-rated red for 20-21

CPI: 53	Total amount of additional income clients have gained through debt/money advice (via council-provided advice) (£)	Housing	43,000	39,000	38,109	19,909	30,740	41,069	Q4 figures reflect a return to a more 'business as usual' environment for advice work. Data is taken from case closures for work initiated between the worst impacts of the two lockdown periods.	32,457	The annual target has not been met due to low returns in Q2 and Q3. Advisers were extremely busy during these periods but were firefighting the immediate impacts of the first lockdown and unprecedented numbers of council tenants transferring to Universal Credit for the first time. This meant that the regular process for referral and case monitoring via a Civica process was abandoned in favour of crisis support direct to tenants and via the community support hub. The fourth quarter has seen a return to a greater sense of normality with advisers undertaking longer term support packages with more time to undertake monitoring and recording of outcomes.
CPI: 59	% of respondents satisfied with the service provided to deal with ASB	Early Intervention & Community Safety	55%	49.5%	44.4%	23.6%	22.4%	N/A	It was not possible to collect data in Q4 due to capacity issues as a result of Covid-19.	30.2% average for quarters reported	<p>Since the first Covid-19 lockdown in March 2020, ASB reports have increased to more than 150% of the previous year. This mirrors national trend.</p> <p>With more residents working from home noise complaints remain the highest volume ASB issue reported.</p> <p>While there were clearly failings in the former two tier ASB structure, since January 2021 the council has implemented a new single structure for ASB response and enforcement. New processes and service standards are in place. The new structure is still being recruited to with an aim to be fully</p>

Figure 4: Great neighbourhoods, housing and environment KPIs

Ref	Indicator	Service area	Target	Inter- vention	Q1 (April - June)	Q2 (July - Sep)	Q3 (Oct - Dec)	Q4 (Jan - Mar)	Q4 commentary	Annual average	Annual commentary
KPIs RAG-rated green for 20-21											
CPI: 3	% of council homes at 'C' or higher Energy Efficiency rating	Housing	80%	72	79.7%	79.4%	79.9%	80%	The result of 80% of properties achieving an A-C rating is the highest since this KPI began, and reflects the success of the ongoing upgrade programmes for boilers and insulation. While NPS was unable to do some stock surveys during the lockdown, the time has been used constructively to carry out the research and property-level data input work that is essential to improving results for this KPI and the average SAP score. This has reduced the number of properties without a SAP score and helped push the modest improvement in average SAP, while increasing the number of 'B' rated properties by over 100.	80%	The result of 80% of properties achieving an A-C rating is the highest since this KPI began, and reflects the success of the ongoing upgrade programmes for boilers and insulation. Future improvements in energy efficiency/SAP are likely to reach a plateau unless there is an increased proportion of new build stock or investment in renewable technology.
CPI: 11	Number of affordable homes built, purchased or enabled by the council	City Development	20	18				21		21	

CPI: 14	% of planning appeals dismissed (where Council has won)	Planning	> 66%	60%	100.0%	60.0%	100.0%	50.0%	Four appeal decisions were received in Q4, 2 were dismissed and 2 allowed. 50% for Q4 flags as below 66% and is therefore rated red, however the rolling 12 month target is 77.5% which remains above target.	77.5%	The 12 month figure is 77.5% and is therefore above target.
CPI: 15	Number of priority buildings on the 'at risk' register saved from decay by council interventions	Design Conservation & Landscape	1	0				1	See annual commentary.	1	St John de Sepulchre Church on Ber Street has been saved from decay and removed from the risk register. This building is on a long term lease from the City Council to the Norwich Historic Churches Trust. We assisted the Trust and their appointed architects in identifying and organising all the relevant parties to collectively comment on and identify constraints and restrictions that would have detrimentally affected the proposed scheme. This was done quickly and went well beyond normal development management activity. Progress has been made towards helping other buildings, such as Ethelbert Gate through the Tombland public space scheme that is under construction.
CPI: 16	Customers satisfied with the Planning Development Management Service	Planning	>75%	66%	85.7%	82.3%	N/A	N/A	KPI no longer reported as low response rate means it is not a reliable indicator.	84.0%	KPI no longer reported as low response rate means it is not a reliable indicator. The end of year figure is the average for quarters reported (Q1 and Q2).
CPI: 43	Norwich Market occupancy rate	City Development	> 90%	85%	98.4%	98.9%	96.8%	96.8%	See annual commentary.	97.76%	With no further change since Q3 it is encouraging to see that voids have not changed and remain at just over 3%, better than the council's bricks and

											mortar stock. With the lockdown easing since April 12th 2021, footfall and trade levels are very encouraging. However it is uncertain how long such a bounce-back will prevail, and with the economy more widely remaining in trouble, the prospect of further voids remain.
CPI: 49	Average saving of switch and save beneficiaries	Environmental Strategy	> £100	£90	£242	£288	£250		The switch and save does not occur on a quarterly basis, with three tranches instead taking place each year. This means there is not new savings data to report in quarter four.	£260	Overall we are meeting the savings target. OFGEM recently announced they would be increasing the price cap on standard variable tariffs (the most expensive tariffs on the market) and overall energy prices are expected to rise. Therefore it is important to continue to offer residents savings through this scheme.
CPI: 10	% of council homes meeting Norwich standard	Housing	>97%	90%				99.4%	See annual commentary	99.4%	This is a further improvement on the figures from a year ago, and a continuation of the upward trend that this measure has seen for several years now. Despite the lockdown and pause in works, contractors have excelled themselves in their commitment to delivering programmes of work to ensure properties have been upgraded in time to meet the Norwich Standard.
CPI: 12	Number of empty homes brought back into use	Environmental Health & Protection	20	18			34		N/A	34	This is the outcome of a lengthy piece of enforcement work by the public protection officers who deal with Houses in Multiple Occupation (HMO's). The premises, 60 St Faiths Lane, was an office block which had been converted into an HMO. The inspection of the premises identified many Category 1 hazards resulting in

											the council serving enforcement notices and taking a criminal prosecution against the landlord and management company. The resulting remedial works carried brought 34 back into safe residential accommodation.
KPIs RAG-rated amber for 20-21											
CPI: 54	Number of insulation measures completed per quarter	Environmental Strategy	37.5	33.75	25	40	44	35	Work was delayed due to COVID-19 restrictions during Q4.	36	<p>Installing energy efficiency measures over the pandemic has been a challenge. Accessing properties safely was a major concern to installers and the vulnerable clients the scheme serves. Progress is likely to return to expected levels if access to properties is retained.</p> <p>The government retrofitting scheme Green Homes Grants (vouchers) has collapsed which will lower access to finance for domestic retrofitting outside the ECO framework. This may lead to a downturn in installations as funding pathways continue to decrease, particularly for the more able to pay market who may have been persuaded to have work done if funding was available. However, we will continue to help eligible residents access ECO funding.</p>
CPI: 1	% domestic waste recycled/composted, residual	Environmental Services	40%	35%	38.0%	41.0%	37.7%	37.51%	There is no precedent for the circumstances in which the services are currently operating and it is not possible to accurately assess performance when everyone's personal, social and professional life has changed so much. Given this, the	38.55%	There is no precedent for the circumstances in which the services are currently operating and it is not possible to accurately assess performance when everyone's personal, social and professional life has changed so much. Given this, the

									difference between actual and target for this indicator is not so radical as to give any cause for concern at this time.		difference between actual and target for this indicator over the entire COVID year is not significant enough to give long-term cause for concern.
CPI: 5	Streets clean on inspection	Environmental Services	88%	80	N/A	N/A	N/A	81%	Performance reflects the impacts of COVID on operational services and is expected to return to target levels as soon as services and surveys return to normal levels.	81% average for quarters reported	Due to the impacts of COVID on both the service and the surveys it is not possible to accurately assess performance based on only one set of surveys.
CPI: 7	Assets maintained by community groups	Community Enabling	60	54	52	52	52	55	The negative Covid 19 impact on this target has started to reduce over Q4 and we are seeing some increase in the adoption of green spaces and groups taking on litter picking and adoption of areas. Added complexity now that Highways have returned to County but nonetheless we are seeing a significant rise in the numbers coming forward.	55	Despite the challenges of Covid, residents are still maintaining spaces on our behalf and towards the end of the year we have started to see a significant uptake in communities wanting to take more ownership of spaces. Internal process changes have also enabled us to make the process easier.
CPI: 6	Green flag awards for parks and open spaces	Parks & Open Spaces	3	<2		2			See annual commentary.	2	Applications have been submitted for again for 21/22 for Eaton Park, Mousehold Heath and Waterloo Park.
KPIs RAG-rated red for 20-21											
CPI: 4	CO2 emissions from LA activity	Environmental Strategy	-4%	-3.6%		-2.5%			See annual commentary	-2.5%	<p>This target was set via the previous Carbon Management Programme (Phase 2) with the baseline assessed in 2007 and including all contractors.</p> <p>While the council did not meet its carbon dioxide reduction target for 20-21, this follows several years in which the target was exceeded as quicker progress towards the long-term goal</p>

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CPI: 2	Residual household waste (Kg)	Environmental Services	93.75	103.12	101.7	104.1	110.9	105.3	With the overwhelming majority of people working and shopping from home throughout the quarter it is unsurprising that domestic household waste has remained higher than the target.	105.5	There is no precedent for the circumstances in which the services are currently operating and it is not possible to accurately assess performance when everyone's personal, social and professional life has changed so much. The difference between actual and target for this indicator over the entire COVID year is not surprising given that so many people have been predominantly working and shopping from home.
CPI: 13	Number of private rented sector homes made safe	Environmental Health & Protection	100	90			4		See end of year commentary.	4	This has been a difficult 12 months with the Public Protection Team (including private sector housing and HMO licensing work) having to focus on the delivery of Covid-19 Secure legal provisions across the city. The 2 lockdowns meant unless there was an emergency (category 1 housing complaint) we were unable to deliver any of the inspection programmes. Looking forward with the government's delivery of the recovery roadmap has seen the private sector housing and HMO work starting to begin again and the easing of restrictions on 17 May will allow officer to again inspect premises in person. There will be a gradual increase in the delivery of the inspection programmes.
Data not available or service not delivered due to C-19											
CPI: 8	Volunteer hours in parks and open spaces (YTD)	Parks & Open Spaces	6000	5400	172.0	2,815	4,169	4,898.5	The opportunity for group volunteering has been restricted again this quarter due to the lockdown. Some individuals have	4,898.5	It has been a challenging year and the final total of 4,898 hours recorded falls below the target set. At the time of target setting it was not known how

									continued to do their walks and litter picks. This has resulted in some hours being recorded but not the volume associated with group activities.		<p>future lockdowns and restrictions would impact the service.</p> <p>In challenging circumstances the number of hours volunteers have been able to benefit from volunteer activity is pleasing. This was made possible through adaptations to how we run and manage volunteer tasks, to comply with government guidance. Operating on a pod basis when this was allowed and bringing in new sanitisation processes.</p> <p>Volunteer groups are once again starting to operate for 21/22 operating in accordance with government guidance.</p>
CPI: 9	% of community accessing community centres by income decile	Community Enabling	30%	27%	N/A	N/A	N/A	N/A	Centres still closed so unable to undertake the usual February footfall survey.	N/A	<p>Due to centres being closed most of this year we are unable to report on this target. As footfall starts to increase post lockdown we will look to see the appropriate time to do this in 2021 and work with centres to ensure they are focusing on people with multiple inequalities and local areas of deprivation.</p>

Figure 5: Inclusive economy KPIs

Ref	Indicator	Service area	Target	Inter- vention	Q1 (April - June)	Q2 (July - Sep)	Q3 (Oct - Dec)	Q4 (Jan - Mar)	Q4 commentary	Annual average	Annual commentary
KPIs RAG-rated green for 20-21											
CPI: 35	Proportion of top earners with protected characteristics (compared to the whole workforce) - Ethnic minorities	HR & Learning	3.1%	2.5%	2.5%	5.4%	5.4%	5.6%	Proportion of top earners from an ethnic minority has increased slightly this quarter.	4.73%	Both the ethnic profile of the workforce and the top earners have improved during the year, and when compared to previous years. There continue to be data gaps which are being addressed. Current data suggests 8.2% of the community who are economically active are from an ethnic minority.
CPI: 39	Proportion of contractors who pay staff the Living Wage	Procurement	> 75%	67.5%				95.7%	Of contract monitoring forms returned in this year, 45 from 47 confirmed the living wage was paid.	95.7%	In 2020/21 contract monitoring forms return rate has been impacted due to Covid leading to service area pressures however of the 47 returned 45 confirmed the living wage was paid.
CPI: 40	Number of new jobs/ apprenticeships/ traineeships created through our new	Procurement	N/A	N/A				13	During this year data collection forms have been sent to suppliers awarded new contracts. Of those returned these confirm 12 new jobs were created, 1 apprenticeship and 9 new jobs for Norwich residents.	13	In 2020/21 data collection forms were sent to 59 suppliers asking for the return of this information. Unfortunately response rate was low with only 13 being returned but of

	contracts awarded per year (for 2020/2021)										those returned only two contracts awarded didn't create new jobs etc.
CPI: 44	Total amount of discretionary Business Rate relief to not-for-profits	Revenue and Benefits	N/A	N/A				£32.39k	See annual commentary.	£32.39k	Discretionary business rate relief has been awarded in line with the published policy throughout the year.
KPIs RAG-rated amber for 20-21											
CPI: 34	Proportion of top earners with protected characteristics (compared to the whole workforce) - Female	HR & Learning	42.6%	37%	42.5%	40.0%	41.0%	39.5%	Proportion of top earners who are female has decreased slightly in this quarter but has remained relatively stable throughout the year.	40.75%	Proportion of top earners who are female is slightly lower than the target but significantly lower than the proportion of the overall workforce who are female (58.9%). Current data suggests 46% of economically active in the Norwich community are female.
CPI: 33	Improving the gender pay gap	HR & Learning	3.4%	6%				5.2%	Mean gender pay gap at 31/3/2020 has increased from 3.4% to 5.2%. This is as a result of recruitment to one post. The median gender pay gap continues to be 0%.	5.2%	Mean gender pay gap at 31/3/2020 has increased from 3.4% to 5.2%. This is as a result of recruitment to one post. The median gender pay gap continues to be 0%.
KPIs RAG-rated red for 20-21											
CPI: 31	% of workforce that are apprentices	HR & Learning	2.30%	2%				1.54%	See annual commentary.	1.54%	Average number of employees on apprenticeship programmes in 2020/21 was 1.54% of the workforce which is below the government target of 2.3% of the workforce. All vacancies are reviewed for suitability for apprenticeships prior to recruitment.

CPI: 36	Proportion of top earners with protected characteristics (compared to the whole workforce) - Disability	HR & Learning	11.3%	9%	2.5%	5.7%	5.7%	5.9%	Proportion of top earners with a disability has increased slightly this quarter.	4.95%	<p>Proportion of top earners with a disability has increased throughout the year.</p> <p>The proportion of top earners is below target and is significantly lower than the proportion of the overall workforce who have a disability. There continue to be data gaps which are being addressed.</p> <p>8.4% of economically active Norwich people have a disability. The overall workforce who have a disability is 11.9% so higher than the community.</p>
Data not available or service not delivered due to C-19											
CPI: 32	Number of work experience placements or encounters provided by the Council	HR & Learning	20	16				No data available	None completed in 20/21 due to Covid restrictions.	No data available	None completed in 20/21 due to Covid restrictions.

Figure 6: Healthy organisation KPIs

Ref	Indicator	Service area	Target	Inter- vention	Q1 (April - June)	Q2 (July - Sep)	Q3 (Oct - Dec)	Q4 (Jan - Mar)	Q4 commentary	Annual average	Annual commentary
KPIs RAG-rated green for 20-21											
CPI: 66	Availability of Core ICT systems	Customer, IT & Digital	> 90%	82%	99.7%	99.9%	99.9%	99.9%	Target exceeded again, with very few and minor service interruptions.	99.85%	Consistently achieving above target availability with 99.9% up-time during the year (compared to 99.83% the previous year), with an average of just 13 minutes lost time per core system/service each month throughout the 12 months. All this despite the challenges presented by Covid-19/lockdown, ever increasing security activity, the transfer of IT Services staff from LGSS back into the council and the onset of several significant and high-profile projects.
CPI: 28	Channel shift - online usage	Customer Contact	> 25%	22.5%	37.9%	31.7%	30.8%	31.6%	Target met - customers are continuing to access services online, phone contact is back to normal levels.	33%	Target exceeded for the year by nearly an additional 10%. The impact of Covid has directly affected this data as more customers have accessed online services. Other factors, such as virtual parking permits and a new online council tax portal, have improved digital services and increased take up.

CPI: 29	Customer satisfaction	Customer Contact	> 76%	70%	82.4%	79.7%	76.5%	74.9%	Target not met. Q4 is the busiest time for the contact team where increased demand and higher phone wait times have a direct correlation with reduced customer satisfaction.	78.36%	Exceeded target for 20-21. Given this was a difficult year for customers, this is encouraging.
CPI: 26	Presence rate of employees (proportion of employees with 100% attendance)	HR & Learning	70%	63%	86.8%	84.8%	81.5%	81.45%	Employees with 100% attendance continues to be high but has decreased slightly in comparison to previous quarters.	83.64%	Employees with 100% attendance has continued to be high throughout 2020/21. 100% attendance has increased in comparison to previous years.
CPI: 27	Absence rate of employees	HR & Learning	< 9.8 days per employee	10.78	1.4	1.3	1.6	1.4	Sickness absence has reduced in comparison to Q3 but has generally been consistent throughout the year.	1.43	Outturn for 2021/22 is 5.7 days sickness absence per employee, which is an improvement on previous years and well below the target.
CPI: 23	Effectiveness of Learning and Development in supporting employees to do their job	HR & Learning	> 75%	66%				93%	See annual commentary.	93%	Average evaluation scores for the effectiveness of learning and development in supporting employees to do their job are 3.2 to 3.5 out of 4. 3 – agree 4 – strongly agree
CPI: 18	Council on track to remain within General Fund budget (£)	Finance	<£250k over budget	200,000	1,298,687	784,456	(1,302,790)	(1,612,931)	The provisional outturn position reflects the impact of Covid-19 on the council's income and expenditure as well as incorporating identified in-year savings and government funding. Positive and decisive action early in 2020/21 has	(1,612,931) Full year position.	As agreed as part of the budget papers in February, £0.7m of the underspend will be transferred into the Budget Risk Reserve for 2021/22 to manage the continuing financial risks associated with the pandemic and budget delivery. A further £0.837m will be transferred into the Business Change Reserve. This will be used to fund costs linked to the

									enabled the council to manage the in year challenges and proactively set resources aside to transform and improve services whilst balancing the 2021/22 budget		change programme which are not delivering specific savings, for example project management and staff development.
KPIs RAG-rated amber for 20-21											
CPI: 17	% of MTFS target for next financial year on track	Finance	80%	72				77.1%	See annual commentary.	77.1%	Total short and long term savings included in the 2021/22 budget of £3.95m. Updates from service areas highlight 77.1% are currently on target to be delivered within the next financial year. Work will continue to progress and monitor the delivery of savings throughout 2021/22. As part of the 2021/22 budget a risk reserve of £0.7m has been created to manage the risks associated with savings delivery.
KPIs RAG-rated red for 20-21											
CPI: 19	Overall council performance - % of output indicators on target	Strategy & Transformation	>75%	65%	68.2%	58.1%	61.3%	54.29%	Overall council performance continues to reflect a very challenging operating environment, as well as new and competing demands for council resource. The proportion of indicators on target has fallen for this quarter as a number of additional KPIs only reported annually have been included within the report, a number of	54.35%	There was a significant impact on the council throughout 2020-21 from COVID-19 and the changes to resident behaviour, need and competing priorities that it has brought, including the advent of new duties such as provision of food and medicine through the Norwich Community Hub and a range of grants to individuals and businesses. Despite this, around half of council performance indicators were on target for the year, although a range

									which have not met their target. Specific areas where anticipated performance is not on track continue to be addressed through service management, organisational change and working with partners.		of performance indicators had also fallen below target. Performance data for specific areas will be used to inform business planning for 2021-22.
CPI: 30	Avoidable contact - failure demand (by service area)	Customer Contact	< 31%	34.1%	43.4%	34.3%	37.1%	35.9%	The target hasn't been achieved; however, development of customer accounts, enabling customers to interact and access their information online should help reduce levels of avoidable contact.	37.69%	The target hasn't been achieved; however, development of customer accounts, enabling customers to interact and access their information online should help reduce levels of avoidable contact.
CPI: 22	% of new employees with development/ induction plans in place	HR & Learning	100%	95%				71.3%	See annual commentary.	71.3%	62 out of 87 new employees in 2020/21 have completed or in progress induction/development plans. Improved reporting to managers throughout 2021/22 has been implemented to ensure all new starters are supported.
Data not available or service not delivered due to C-19											
CPI: 24	Employee engagement	HR & Learning	> 83%	75%				No data available	Employee survey not conducted in 20/21. Employee engagement being reviewed in 2021.	No data available	Employee survey not conducted in 20/21. Employee engagement being reviewed in 2021.
CPI: 20	Employee performance (proportion of workforce)	HR & Learning	>70%	63%				No data available	Appraisal year not concluded and therefore data not yet collected.	No data available	Appraisal year not concluded and therefore data not yet collected.

	rated 3 or 4 through the council appraisal process)										
CPI: 21	Improvement in staff performance	HR & Learning	year on year increase					No data available	Appraisal year not concluded and therefore data not yet collected.	No data available	Appraisal year not concluded and therefore data not yet collected.

Corporate risk register

9. The council identified a need to reconstitute its arrangements for managing risk as a priority action included in the 2019/20 Annual Governance Statement. Whilst the Council has in place an established strategy and policy that conforms to best practice, the need to improve the application of these processes was identified to ensure that risk management is operating effectively at every level of its operations.
10. During 2020/21 a full refresh of the risk management process and corporate risk register was completed. Internal audit worked with directors and the Corporate Leadership Team (CLT) through a mix of discussion and workshops to reset the corporate risk register and develop directorate-level risk monitoring.
11. The corporate register has been reviewed each quarter by CLT as part of its quarterly performance review. As a result of the Q4 review a new risk will be added to the register in relation to waste management. The council's Waste Management services operate in a highly regulated environment. This regime covers the type of collection services that must be provided to households and businesses, and how material can be processed. There are a number of policy and contractual challenges that the Council must address between now and 2024, including the review of the collection contract, its recycling processing, and its response to the proposals in the proposed Environment Bill. This new risk will be worked up by officers during Q1 and included in the next update to the corporate risk register.
12. In addition to its inclusion in the quarterly performance monitoring reports, a risk management report will be provided to the audit committee twice yearly at the request of the audit committee chairman so that the committee can fulfil its oversight function.
13. The corporate risk register is included as Appendix 1.

Integrated impact assessment



NORWICH
City Council

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

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

Report author to complete

Committee:	Cabinet
Committee date:	9 th June 2021
Director / Head of service	Head of Strategy and Transformation
Report subject:	Quarter 4 performance report 2020-21
Date assessed:	1 st December 2020

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

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

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

Consultation

1. **Not applicable**

Implications

Financial and Resources

Any decision to reduce or increase resources or alternatively increase income must be made within the context of the council's stated priorities, as set out in its Corporate Plan 2019-22 and Budget.

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

Legal

There are no proposals in this report that alter the previously reported legal implications.

Statutory Considerations

Consideration:	Details of any implications and proposed measures to address:
Equality and Diversity	Not applicable
Health, Social and Economic Impact	Not applicable
Crime and Disorder	Not applicable
Children and Adults Safeguarding	Not applicable
Environmental Impact	Not applicable

Risk Management

Risk	Consequence	Controls Required
Include operational, financial, compliance, security, legal, political or reputational risks to the council	Not applicable	Not applicable

Other Options Considered

2. **Not applicable**

Reasons for the decision/recommendation

3. **Not applicable**


Tracking Information

Governance Check	Date Considered
Chief Finance Officer (or Deputy)	1/6/21
Monitoring Officer (or Deputy)	27-5-21
Relevant Executive Director	Data presented at CLT – 19/05/21


Background papers: **Not applicable**


Appendices: see following page


Appendix 1: Corporate risk register


Risk: 1. Council Funding Short Term (covid-19 related)			Owner: Executive director of corporate and commercial services				Category: Finance & Resources	Risk Direction:		
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">• Council's financial position goes into significant deficit resulting in reserves falling below the prudent minimum level• Insufficient general and earmarked reserves to address shortfall• Or use of earmarked reserves impacts on ability to deliver other council projects (invest to save funded)• Non-delivery of in-year saving to mitigate financial deficit	<ul style="list-style-type: none">• Initial indications were that in 2020/21 the general fund will overspend by £7.2 million without further action.• Relying solely on the general fund reserve to offset this would leave the reserve at an unsustainable level and below the £4.3m prudent minimum level.• Without significant action and consideration of reserves the council will be at serious risk of being in a S114 position.• Without a clear plan of action the council will have to begin engaging with CIPFA and the MHCLG.	<ul style="list-style-type: none">• £3.9m unallocated reserves available to offset deficit whilst maintaining prudent level of reserve.• As at the end of 31/3/21 the Council was awarded £2.8m of emergency Covid-19 funding from government. (£0.95m for 2021/22)• Services have reviewed the capital programme and submitted opening briefs which were approved Feb 2021.• Projects have been prioritised for review• Corporate review of all 2020-21 revenue budgets to identified areas for immediately reducing in-year expenditure through additional controls on non-essential spend and recruitment.	Jun 20	4	2	8	Manage	4	2	8
			Risk Control Action							
			Action		Owner		Target Date	Update		
Continue to lobby Government to fully compensate Norwich against the financial impacts of C19'		Chief Executive		Ongoing	<ul style="list-style-type: none">• The Leader of the Council has written to the Prime Minister and Chancellor asking for the council to be fully compensated• The Leader has also lobbied the local MPs• Both the Leader and CEO are in regular discussion with other Norfolk Leaders and CEOs to lobby on this point, and are active members of the Key Cities network and are lobbying through that route• The CEO has been in touch directly with the Chief Executive of the LGA to lobby for a fair settlement for Norwich and the wider sector.• The CEO has also published articles in the MJ to lobby Government on this point• The s151 officer ensures that all financial returns setting out the impact of covid on the council's budget are sent to MHCLG in a timely manner.					

			Comments:
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Risk: 2. Council Funding Medium- Long Term			Owner: Executive director of corporate and commercial services				Category: Finance & Resources	Risk Direction:		
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">• Council fails to identify and plan for enough savings over the medium term.• Non-delivery of identified savings• New national funding arrangements reduce government funding (Fairer Funding, Business Rates Retention, New Homes Bonus)• Economic uncertainty increase volatility on business rates and council tax• Risk of inflation on costs and pension deficit increases.• Lack of capital resources to fund the council's asset base – implications	<ul style="list-style-type: none">• Councils financial position goes into deficit, reducing confidence in financial strength and governance• Unplanned use of reserves reducing capacity and flexibility and compromising stability.• Section 114 notice• Government intervention• Failure to deliver Council Plan• Adverse comments by poorer perception of Council by stakeholders.• Overspends arising from activity not in service plans.	<ul style="list-style-type: none">• Reviewed all the assumptions within the MTFS and updated.• Corporate budget planning guidance issued• CLT review of budget options and MTFS refresh• Cabinet give due consideration to latest forecasts and options to close any gap identified during the review of MTFS assumptions.• Consultation will be completed where required for all proposals approved in Feb 2021 budget.• Restructure senior management team to improve service delivery and drive forward transformation programme.• Started process of service reviews to generate efficiencies• Utilising invest to save reserve to deliver transformation programme• Refresh cabinet briefing on the MTFS.	Jun 20	5	2	10	Manage	5	3	15
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Cabinet approve the revised MTFS at Full Council		Executive director of corporate and commercial services		Feb 21	Complete		
			All budget proposals are monitored on a monthly basis		CLT		Monthly	Total short and long term savings included in the 2021/22 budget of £3.95m. Updates from service areas highlight 23% at risk (£0.9m) with the risk reserve set at £0.7m.		
			MTFS refresh to be reported to cabinet		Executive director of corporate and commercial services		Sept 21			
Comments: The Council is working towards a sustainable budget that does not utilise reserves. Current plans incorporate the use of reserves to bring the general fund reserve back to the risk assessed minimum requirement.										

Risk: 3. Commercialisation (investment property, NRL, other commercial income sources)			Owner: Executive director of corporate and commercial services				Category: Finance & Resources	Risk Direction:		
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">• Lack of depth of skills and knowledge to manage commercial activities (reliance on several key staff)• Uncertainty over the future government direction on commercial activity (PWLB consultation ongoing)	<ul style="list-style-type: none">• NRL – losses in the company result in additional revenue costs to the General Fund• Non-delivery of budgeted income levels to support general fund• Ineffective management of the property portfolio leads to reducing income and poor use of assets	<ul style="list-style-type: none">• Asset Management Strategy• Commercial Strategy• Addressed recommendations from the internal audit review of NRL governance.• Completed a thorough review of the Council's approach to housing commissioning and structure.	Jun 20	4	2	8	Manage	4	2	8
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Following Cabinet approval, new and revised structures will be put in place.		Executive director of development and city services		Sept 21	New and revised structures – Recruitment of delivery director completed. Recruitment of rest of team ongoing.		
			Produce a new asset management strategy.		Executive director of development and city services		Aug 21	Production underway. Timetable has slipped due to be complete by the summer.		
Comments: The council paused its programme of commercial property acquisitions in March 2021 following changes to the Public Works Loan board lending terms. Emerging guidance in this area will continue to be monitored.										


Risk: 4. Health & safety in the workplace			Owner: Executive director of development and city services				Category: Finance & Resources	Risk Direction:		
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">Covid-19 and risk of spreading infection across the workplace.	<ul style="list-style-type: none">New way of working has the potential to change the council's culture and make it a more modern organisation which supports a flexible approach to work/life balance for staff.Impact of Covid-19 and duties to ensure social distancing and requirements to ensure safety in the workplace are addressed	<ul style="list-style-type: none">Improved IT capabilities to allow more staff to work from home were developed and rolled out quickly, which has enabled the majority of staff to work from home since March.Virtual council meetings are being held in order to limit the risk of spreading the disease through close contact, although the organisation will revert to 'face to face' meetings in the council chamber and committee rooms when it is appropriate to do so.Hand sanitiser dispensers introduced across workplace.Desk policy to ensure limited capacity adhered to & 2m social distancing observed.Mandatory e-learning modules for staff.Implemented changes to internal layout and other safety measures within city hallMental health working group in place to support staff wellbeing & resilience	May 20	4	2	8	Manage	4	2	8
			Risk Control Action							
			Action		Owner		Target Date	Update		
			City Hall Recovery Group formed		New chair to be nominated		Ongoing	Weekly meetings taking place		
			IT roll out to support agile working		Infrastructure support manager		Mid July 21	In progress		
			Accommodation assessment		Facilities Team Leader		Ongoing	Assessment of room/ desk occupancy and city hall capacity ongoing		
			Covid Risk Assessment		Environmental health & public protection manager		Completed	Risk assessment reviewed on a regular basis to ensure compliance with Covid secure guidance		
			Provision of PPE		Facilities Team Leader		Completed	Cleaning stations in place for provision of PPE etc, hand sanitiser dispensers in place through the building		
			Comments: <ul style="list-style-type: none">City Hall Covid Recovery Group formed to look at workplace issues to ensure compliance with government guidance.Service area recovery plans completed and summary report produced.Service area debrief conducted and report produced.14 Mental Health First Aiders have been trained to provide a first point of contact across the organisation.							

Risk: 5. Further waves of Covid-19:			Owner: Chief Executive				Category: Customer	Risk Direction:		
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">Adverse impacts associated with further restrictions and pressures associated with Covid-19 that will have on the city, council and local services	<ul style="list-style-type: none">Lack of government funding to support local businesses resulting in local business failuresEconomic uncertainty increase volatility on business rates and council taxInsufficient government funding to local authorities to support the delivery of additional Covid -19 related activitiesFinancial pressure due to down turn in income leading to financial instabilityIncrease in unemploymentIncrease in claims for benefits and consequential impact on staff workloads	<ul style="list-style-type: none">Delivery of business support grants.Ongoing work with the Norwich BID and Norfolk Chambers of CommerceNorfolk wide response being managed through Norfolk Resilience Forum (NRF) attend by leader of the council and Chief ExecutiveCovid operational group continues to oversee response and actions deployed to reduce the number of cases.A gold command structure was put in place with the chief executive chairing daily meetings and the director of strategy and culture leading the responseC-19 Support Officer provided in the city to give advice and support to businesses and the publicSilver command group:<ul style="list-style-type: none">Promote and disseminate information and toolkits to local businessesProvide advice & engagement with track and traceDeployment of covid-19 support officersCollaboration with police on enforcement actions	Jun 20	4	3	12	Manage	5	4	20
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Work with the Norwich BID, Norfolk Chambers of Commerce, police and Norfolk County Council to review and implement physical measures and signage in the city centre to support social distancing.		Executive Director of Community Services		Ongoing	Posters provided for businesses to display in entrances. City centre signage in place, no current refresh required pending 21/6.		
			Use its licensing powers to support businesses – particularly those in the hospitality sector – where appropriate to vary the use of outside space, whilst ensuring that people with disabilities can move around the city safely.		Executive director of development and city services		Ongoing	Licensing team have implemented the fast track table & chairs licensing system and supporting hospitality in their applications. Business toolkit promoted and letters have been sent to businesses in each sector.		
			Continue to deliver grants and wider support to businesses.		Executive director of corporate and commercial services		Ongoing			
To work effectively with partners through effective networks to minimise spread		Chief Executive		Ongoing	Operational Group convened with key stakeholders including County Council Director of Public Health, East Anglia					


			of virus, provide clarity of local message and for us to provide an effective local track and trace service			University. Action plan in place including deployment of Covid safe advisors, more visible communications e.g. regular press conferences, continued review of data to identify hotspots and continued local contact tracing system. Development of a dedicated Covid response team (NR).
			Comments:			

Risk: 6. Impact of Brexit			Owner: Chief Executive				Category: Customer	Risk Direction:		
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">Continued uncertainty over the nature of the UK's exit from European Union.Risks associated with potential no deal scenario	<ul style="list-style-type: none">Public disorder eventsFood availability (panic buying/ stockpiling) - Increased prices for food and fuelPossible disruption to fuel suppliesStaffing issues (EU nationals)Inclement weather may have increased impactsFlood season September – April (impacts on Coastal Districts – provision of mutual aid)Staffing resilience managing concurrent events (e.g. Covid, Brexit, severe weather)Potential political developments (elections/referendums) – these would place increased pressure on some district councils.Increases in environmental crimes i.e. fly tipping etc., as advised by the Environment Agency	<ul style="list-style-type: none">Membership & participation in Norfolk Resilience Forum (NRF)NRF multi-agency plans to deal with significant eventsNRF Brexit StrategyBusiness Continuity PlansBrexit Communications PlanNational guidance/ toolkitsStrategic Brexit Lead Officer	Apr 20	3	5	15	Manage	3	5	15
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Monitor the situation, awaiting further government guidance		Emergency Planning Manager/ Environmental Health & Protection Manager		Ongoing	EPM engaged with NRF EU transition working group. Continuing to monitor any impacts		
			Information sharing through NRF structures		Emergency Planning Manager		Ongoing	NRF EU Transition strategy reviewed and updated to reflect our current position.		
			Participation in NRF Brexit planning meetings		Emergency Planning Manager		Ongoing	Risk assessment reviewed and updated in the strategy. Government Reasonable Worst Case Scenarios used to inform our activities. Update from 22/4:meeting: quiet in terms of immediate impact; supply chain issues seem to be calming down from a business perspective; deadlines ahead which may present challenges (30/6). Group agreed to stand down, can be reinstated quickly if there is a need to. Issues of concern can be escalated through MAFG.		


			Promotion of EU Settlement Scheme	Emergency Planning Manager	Jun 21	Working with comms and service areas to proactively promote the EU Settlement Scheme. Leaflet included in council tax bills; scripts and posters shared with service areas; leaflets and posters sent to businesses; text burst sent to residents. We will continue to promote.
<p>Comments: Impacts from NRF Brexit Strategy</p> <p>Trade deal between the UK and EU finalised late December 2020.</p> <p>Proactive promotion and targeted comms to encourage EU nationals to register for EU Settlement Scheme. If individuals do not register they will become unlawfully resident, in breach of UK immigration laws and could be forcibly removed. They will not be entitled to benefits or support and classed as having No Recourse to Public Funds. Housing to consider if there are implications on housing stock and their service area. This could potentially result in greater numbers of rough sleepers.</p>						

Risk: 7. Failure to respond to a critical, business continuity or emergency planning event			Owner: Chief Executive				Category: Processes & Systems	Risk Direction:		
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">• Occurrence of a significant event:<ul style="list-style-type: none">○ Loss city hall○ ICT failure○ Contractor collapse○ Severe weather events○ Sea level rise○ Fuel shortages○ Communications failure○ Pandemic○ Loss of power• The Council, businesses and members of the public in the city will also be at risk from the local effects of climate change in the medium to long term.	<ul style="list-style-type: none">• Council unable to function.• Increase in demand on Council services• Vulnerable Service Users unable to access services• Reputational Damage	<ul style="list-style-type: none">• Draft Corporate Business Continuity Plan• Service areas Business Impact Analysis and Business Continuity Plans• Work Area Recovery location for Customer Contact• ICT Disaster Recovery Plan• Incident Management Team response to business continuity incidents.• BMG TTX - Exercise Appleyard 1 (14/12/16)• BMG TTX - Exercise Appleyard 2 (26/7/17)• Service area business continuity exercises• Insurance policies• Asset register• Emergency Management Strategy• Incident specific response plans• Rest centre and community centre plans• Full participation in Norfolk Resilience Forum meetings• Review of NRF risk assessments and Norfolk Community Risk Register• Norfolk Emergency Response Guidance NRF multi-agency plans for specific risks• Participation in training and exercises	Apr 20	4	3	12	Manage	4	3	12
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Completion of audit review (20/2/18) actions		Executive director of development and city services		Jul 21	Actions completed as far as practicably possible. Agreed with NR to put this on hold until June 2021 due to continued Covid response work, roll out of new IT equipment and forthcoming new management structure		
		Consider reinstating Business Continuity Steering Group for effective business continuity management to provide a mechanism for monitoring and implementing measures to enhance business resilience		Executive director of development and city services	End Dec 21	New Internal Governance Boards introduced as part of new management structure. Business continuity to be reported to Workforce Board once set up and asap with a review of all BIAs and BC Plans required Autumn of 2021.and thereafter adoption of Corporate Business Continuity Plan by December 2021.				
		Completion of outstanding recommendations/actions from previous EP and BC exercises		Executive director of development and city services	Completed	NR agreed recommendations/actions completed. Any further amends will be addressed through action 2 above. COMPLETED.				


		<ul style="list-style-type: none"> • Services areas to raise at supplier engagement meetings potential risk of contractor for early warning. • Service areas to gain knowledge of alternative suppliers that could deliver key services. • Service areas to flag with contract managers risk of supplier collapse due to Covid or issues with supply change due to Brexit. 	<p>Work with emergency planning team in respect to plans for elections in May 2021 and include in plans specific covid-19 planning</p>	<p>Democratic & Elections Manager</p>	<p>May 21</p>	<p>May 2021 elections successfully completed. Election Contingency Plan updated 6 May 2021. Sewell election 17 June to be discussed.</p>
<p>Comments: :</p> <ul style="list-style-type: none"> • Ebola 2014 • Surface Water Flooding events - 2014, 2015 and 2016 • Severe weather incidents: Gales - 23/2/17; 13/9/17; 18/1/18; Snow - 26/2–2/3/18; and 16/3/18 • Coastal tidal surge mutual aid – 5/12/13; 23/11/15; 13/1/17 • Demos/marches/protests impacting on council activities • Post Grenfell activities – MHCLG data collection 2017-18; Exercise Burleigh 24/4/18 • Mile Cross Recycling Centre fire 26/7/18 • Ashbourne Tower gas leak 14/11/18 • Bluebell Road – suspected IED 23/11/18 • Brexit planning 2018-19 • COVID-19 response 						


Risk: 8 Sustained increase in homelessness and temporary accommodation			Owner: Executive director of community services				Category: Customer	Risk Direction:		
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Impact	Likelihood	Score	Risk Strategy	Impact	Likelihood	Score
<ul style="list-style-type: none">• Failing to fulfil statutory responsibility to assess people who present as homeless or at risk and to develop an appropriate way forward to prevent their being homeless.• With the developing economic downturn there will be more families living in poverty, with the risk of homelessness once the 3 months ban on evictions is lifted.• Failing to fulfil responsibility to clients presenting at risk of domestic abuse	<ul style="list-style-type: none">• Increase in costs to council.• Increase in social issues for the city.• Legal action against the council for not fulfilling statutory obligations• Increase in domestic abuse	<ul style="list-style-type: none">• Greater Norwich homelessness strategy 2020 – 25• Norwich tackling rough sleeping strategy 2017-22• As the number of rough sleepers can change on a daily basis, additional accommodation is continuing to be sourced where it is required.• The Pathways partnership programme continues to provide outreach support to those who need it, drawing on a wide range of expertise.• From August 20 a specialist tenancy relations adviser is employed from government funding to deal with PRS tenants threatened by homelessness• The council is recognised as a 'gold standard' authority in dealing with the prevention and relief of homelessness• Government funding has been used to increase the 'homelessness prevention fund'.	Jun 20	3	3	9	Manage	4	3	12
			Risk Control Action							
			Action	Owner	Target Date	Update				
			Work proactively with partners through the Pathways programme to develop a sustainable approach to tackling homelessness in the city.	Head of housing and community safety	Ongoing	Additional funding secured from MHCLG for rough sleeping. Planning agreed for 6x modular units. 10 x properties bought on open market for RS and housing first approach. Additional funds agreed for RSAP II which will add up to 20 more units with support. Pathways recommission on track				
			Over the longer-term, work with Pathways and the voluntary and community sector to look at pathways out of poverty for the most vulnerable. This will include training and skills opportunities and measures to move people closer to the labour market and into employment.	Head of housing and community safety	On going	County wide partnership established with training and skills as key work stream. Head of housing is member of board. The Feed as a supplier of earning and learning opportunities being supported.				


		<ul style="list-style-type: none"> The council employs a specialist domestic abuse housing adviser to deal with DA victims threatened with homelessness 				Feed supported by Council recently launched 7 day and night food provision with skills development at the core
			Given increased volumes of presentation and workload, it may be necessary to use govt homelessness funding held in existing budgets to take on additional resource in the homelessness relief team. This to be monitored.	Head of housing and community safety	On going	Additional resources secure and capacity being developed and monitored. Additional funding from Homelessness grants secured additional positions for next financial year.
			Comments:			


Risk: 9. Cyber Security & GDPR compliance			Owner: Executive director of community services				Category: Processes & Systems	Risk Direction:		
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Impact	Likelihood	Score	Risk Strategy	Impact	Likelihood	Score
<ul style="list-style-type: none">lack of staff awareness and training,An IT vulnerability allows a Cyber-attack on the corporate data networkFailure to address the IT recommendations of IT Health assessments in a timely fashion.Non-compliance with GDPR legislation	<ul style="list-style-type: none">Data breaches and fines from the Information Commissioners Office (ICO) Mishandling sensitive information. The ICO can apply fines of the higher maximum amount, is £17.5 million or 4% of the total annual worldwide turnover in the preceding financial year, whichever is higher.The Cyber-attack on the local authority in NE England is estimated to have cost £10m.Loss of IT systems (such as Web services, Email, Payments, Public Access, Corporate information etc) for several days, weeks or even months)IT systems don't meet service transformational expectations.Customer services disruptedFinancial impact of prolonged IT shutdownPolitical & reputational riskNon compliance with Payment Card Industry standards which results in financial fines.Non compliance with Public Sector Network which results in possible loss of DWP	<ul style="list-style-type: none">Mandatory e-learning modules on systems security & GDPRCorporate Information Group – monitor data breaches GDPR related issues.Independent annual Cyber health assessments provides for a friendly warning of vulnerabilitiesFirewalls & Security Products	Jun 20	4	3	12	Manage	4	3	12
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Address recommendations from the internal audit review of GDPR -. including Information asset register		Data Protection & Security Team Leader		June 21	Returns from asset owners to populate the IAR.		
			Programme to replace legacy IT systems		Head of Customers, IT & Digital		Sep 23	An extensive programme of work is in place to replace and refresh legacy systems.		
			Internal audit of cyber security		Interim Audit Manager		Completed	In audit has been completed and a report has been received. Action plan in place, ref point 8 in action plan		
			Review the need to insure against cybersecurity attacks.		Head of Customers, IT & Digital		July 21	Decide whether cover is needed and liaise with Business relationship & procurement manager.		
Refresh the Staff Awareness Programme		Head of Customers, IT & Digital		Sep 21	New identified action, an update to follow on next report.					

	information affecting the Benefits' Service.		Address the vulnerabilities identified from the IT Health Assessment	Head of Customers, IT & Digital	Jun 21	New identified action, an update to follow on next report.
			Comments: A new action is required for this item, resulting from the internal audit of cyber security. Review of IT Process/Policy Documentation Required. Target Date = 29 October 2021.			


Risk: 10. Joint Venture contracts			Owner: : Executive director of community services				Category: Customer	Risk Direction:		
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Impact	Likelihood	Score	Risk Strategy Manage	Impact	Likelihood	Score
<ul style="list-style-type: none">Ending the joint venture contracts with Norse group for property management and general fund and housing repairs & maintenance (April 2022) and avoiding significant impacts on services.Poor relationship managementJoint ventures not managed effectively, and key service outcomes not achieved.Contracts not managed effectively.Joint venture arrangements do not run to term or budget	<ul style="list-style-type: none">Key services not deliveredThe Council does not get VFMBenefits of partner and contract management not realised.Specification not adhered to.Services not provided at an acceptable levelCustomer and staff complaints	<ul style="list-style-type: none">Place project – multi officer project team and board in place to implement insourcing projectsBusiness as usual workstream to oversee delivery and performanceRevised key performance indicators for property and building maintenance contracts agreedRegular review of performance	Jun 20	3	3	9		3	4	12
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Recommendations from the internal audit review of the housing repairs & maintenance contract reviewed and action plan agreed		Executive director of community services		Mar 21	Updates provided to audit for May 21 to completed actions		
			Safe transfer of environmental services to Norwich City Services Limited by 1.4.21		Chief Executive		Apr 21	Completed.		
			Safe transfer of property and building maintenance services to Norwich City Services Limited by 1.4.22		Chief Executive		Jun 21 - Apr 22	Interim specialist and experienced resources recruited to lead project. – May 21. Review of governance, resources, and budget requirements Phase 2 – June 21. Project Place Board – Phase 2 internal governance will meet monthly to monitor and support project delivery.		
Comments:										

Risk: 11. Failure to fulfil statutory or legislative responsibilities - safeguarding.			Owner: Executive director of community services				Category: Customer	Risk Direction:		
				Target Risk				Current Residual Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Impact	Likelihood	Score	Risk Strategy	Impact	Likelihood	Score
<ul style="list-style-type: none">• Lack of understanding the statutory and legislative responsibilities.• Lack of awareness of legislative changes and new legislation.• Failure to implement statutory duties and responsibilities.• Lack of required skills knowledge and experience of key officers tasked to fulfil statutory or legislative responsibilities.• Insufficient organisational capacity.• Ineffective procedures and processes.• Lack of clarity of roles and ownership of legislative responsibilities (H&S, safeguarding, equality etc.).• Delegation of responsibilities where services are with a contractor.	<ul style="list-style-type: none">• Financial costs in compensation & fines• Intervention if complete failure• Acting illegally• Negative impact on the Council's reputation• Wrong decision being made• Harm, abuse, accident or death linked to failure of the Council to act within safeguarding arrangements• Being held to account by overseeing organisations (e.g. children safeguarding) maybe included in reputation	<ul style="list-style-type: none">• Communication Strategy to ensure implementation• Corporate Governance Group in place to oversee compliance• Legal Services in place to provide support• Positive approach to checking compliance with legislation• Professional leads identify legal requirements• Quality assurance processes in place for contracted services• Suitably trained and qualified staff and mandatory reading of key documents for all officers	Apr 20	4	3	12	Manage	5	3	15
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Increase officer confidence in information sharing and understanding of when and how to do so appropriately		Early Intervention & Community Safety Manager		Mar 21	May 2021; number of safeguarding champions across council has increased and representation now in each directorate. proposed safeguarding training programme awaiting roll out.		
			Safeguarding policy and risk embedded into contractors' and sub contractors' policy and practice		Early Intervention & Community Safety Manager		Sep 21	May 2021, This forms part of planned safeguarding training programme, awaiting delivery.		
			Maintain safeguarding champion knowledge, understanding, confidence		Early Intervention & Community Safety Manager		Mar 21	May 2021, this action is ongoing, with safeguarding champions meeting every two months.		
Embed learning across council teams		Early Intervention & Community Safety Manager		Mar 21	May 2021, All team leaders and managers now receive all safeguarding issues logged, as well as their safeguarding champion. This enables safeguarding issues and challenges in reporting to be discussed and clarified at supervision meetings.					
Comments: Populated from 2019-20 section 11 self-assessment action plan										

Risk: 13. Occurrence of a significant event			Owner: Executive director of development and city services				Category: Customer	Risk Direction:		
				Target Risk				Current Risk		
Description/Triggers	Impact	Mitigation	Date	Consequence	Likelihood	Score	Risk	Consequence	Likelihood	Score
			Raised				Strategy			
<ul style="list-style-type: none">• Occurrence of a significant event:<ul style="list-style-type: none">○ Denial of access to City Hall○ ICT failure○ Loss of power○ Supply chain failure○ Disruption to fuel supplies○ Severe weather events○ Communications failure○ Pandemic• Insufficient staff representation across strategic, tactical and operational levels to ensure resilience, effective response and enable full engagement within NRF structures• The Council, businesses and members of the public in the city will also be at risk from the local effects of climate change in the medium to long term.	<ul style="list-style-type: none">• Services unable to function• Increased demand for some services• Vulnerable service users unable to access services	<ul style="list-style-type: none">• Council participation in the Norfolk resilience forum• Business continuity plans in place• Emergency planning strategy in place and maintained• Good contract governance• Emergency planning duty officer rota and procedures in place• Links in-place to other stakeholder BCPs – e.g. Biffa and NCSL	Oct 20	4	3	12	Manage	4	4	16
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Emergency planning arrangements reviewed and updated		Environmental Health & Protection Manager		Annually	New council structure will require review		
			Senior managers trained to gold, silver and bronze response levels		Emergency Planning Manager		Sep 21	New council structure will require review of existing provisions		
			Business continuity plans reviewed annually, including other stakeholder BCPs where these link to council services		Emergency Planning Manager & Service Managers		Annually	New council structure will require review of existing provisions		
Comments: Training on strategic Emergency Management is being undertaken for all of CLT and heads of Service in June/July 2021. Following this the introduction of a Gold/Silver response rota will be commenced to ensure resilience and cover. In addition, Members are being trained in their role in Emergency events on 25 th June 2021. Additional Emergency Duty Officers are being recruited to further improve resilience of front-line Duty staff. The Emergency Management Strategy has been updated and will be presented to cabinet in July 2021. A wholesale review of rets centres is planned to ensure they are still fit for purpose and appropriate. Business Continuity Plans and Business Impact Assessments will be reviewed in the Autumn of 2021 to enable the wholesale review of the corporate Business Continuity Strategy (see risk 7 above for more detail). Further, service transformation will consider the role of a second Emergency Planning Officer (potential for a career grade post) to ensure continuity of service provision for the future.										

Risk: 14 Antisocial behaviour			Owner: Executive director of community services				Category:	Risk Direction:		
				Target Risk				Current Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Impact	Likelihood	Score	Risk Strategy	Impact	Likelihood	Score
<ul style="list-style-type: none">• Failure to adequately manage risk to residents affected by antisocial behaviour	<ul style="list-style-type: none">• Death or serious injury to resident• Mental well-of resident being impacted• Escalation of issues leading to increased service demand and/or cost	<ul style="list-style-type: none">• Ensure risk assessment process being followed throughout the antisocial behaviour process• New ASB team fully staffed	Oct 20	2	3	6	Manage	3	4	16
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Successful recruitment to new team so it is fully staffed		Early Intervention & Community Safety Manager		Jun 21	May 2021, recruitment process is ongoing. Some new recruits but gaps in provision being met by experienced temp officers in the interim.		
			New ASB team trained on and conversant with ASB risk assessment procedures		Early Intervention & Community Safety Manager		Sep 21	May 2021, see above. Temp and new officers trained on corporate and national service standards		
			Residents know how to report ASB to the council		Early Intervention & Community Safety Manager		Jun 21	May 2021, updates to ASB web pages completed.		
			Review of new ASB response arrangements to ensure effective		Early Intervention & Community Safety Manager		Sep 21	May 2021 New process and standards agreed in addition to targets set to improve performance. Customer touch points increased 3 x in first four weeks.		

			<p>Comments:</p> <p>CLT 24/2 agreed to add to corporate register</p> <p>As part of new structure ASB has moved to housing and community Safety Service within community services directorate. This will create greater synergies with housing teams and enable agile use of resources where required to support casework.</p>
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Risk: 15. Contract Management – Governance			Owner: Executive director of corporate and commercial services				Category: Processes & Systems	Risk Direction:		
				Target Risk				Current Risk		
Description/Triggers	Impact	Mitigation	Date Raised	Consequence	Likelihood	Score	Risk Strategy	Consequence	Likelihood	Score
<ul style="list-style-type: none">• Ownership of contract management strategy unclear• Resourcing of contract management and training inadequate• Clarity of service area accountability & roles and responsibilities poor• Contract managers not fully aware of the risks if robust regular contract management with their suppliers and supply chain not undertake• Inadequate SLA/KPIs/MI identified in tender/contracts together with appropriate escalations /consequences• Due diligence pre award and ongoing poor	<ul style="list-style-type: none">• Third party relationships and contracts not managed appropriately causing:<ul style="list-style-type: none">○ contract value not realised / obligations not carried out○ Poor performance○ Financial loss / poor value for money○ Legislative requirements not met / regulatory / legal fine or censure○ Reputational impact○ Lack of visibility of supplier performance	<ul style="list-style-type: none">• Use of framework agreements provides a level of due diligence• Revised contract management strategy• Robust guidance on obligations and roles and responsibilities for contract management• Training to be delivered to new contract managers and new officers in procurement team• ‘Driving value through our supply chain’ corporate service review to be instigated• IA coverage in audit plans	Aug 20	3	3	9	Assess	4	3	12
			Risk Control Action							
			Action		Owner		Target Date	Update		
			Platinum contract performance review (annual checklist)		Business Relationship & Procurement Manager		Complete	Team have continued to prioritise the JV transfer contracts,		
			<ul style="list-style-type: none">• Develop Contract Management training/Source training delivery• Deliver training<ul style="list-style-type: none">○ NCLS officers○ NCC officers		Business Relationship & Procurement Manager Business Relationship & Procurement Manager		Complete Ongoing Sep 21	Training delivered to NCSL based on current guidance. Wider training needs to be reviewed – to be part of service review/strategy action plan development		
Refresh procurement guidance documents <ul style="list-style-type: none">○ Procurement Strategy○ Contract Procedures		Business Relationship & Procurement Manager		Complete Sep 21	Cabinet approved Procurement Strategy CPs & Other docs to be comprehensively reviewed as part of					

			<ul style="list-style-type: none"> Other 			service review/strategy action plan development
			Driving value through our supply chain' corporate service review to be instigated	Executive director of corporate and commercial services	Complete Ongoing	<p>Cross cutting working group established to deliver the approved review</p> <p>Review of key contracts and sharing of best practice</p>
			<p>Comments:</p> <p>Recent limited assurance audit opinions on both NNBL and waste services contract management. Priority resources have been assigned to review these contracts and improve the performance and outcomes achieved.</p>			

Risk scoring matrix

Impact	Very High	5	5	10	15	20	25
	High	4	4	8	12	16	20
	Medium	3	3	6	9	12	15
	Low	2	2	4	6	8	10
	Negligible	1	1	2	3	4	5
			1	2	3	4	5
			Very rare	Unlikely	Possible	Likely	Very Likely
Likelihood							

Risk direction key



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