

## **Cabinet**

**Date:** Wednesday, 06 February 2019

**Time:** 17:30

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

### **Committee members:**

#### **Councillors:**

Waters (chair)  
Harris (vice chair)  
Davis  
Jones  
Kendrick  
Maguire  
Packer  
Stonard

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## **Information for members of the public**

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## Agenda

### Page nos

#### 1 Apologies

To receive apologies for absence.

#### 2 Public questions/petitions

To receive questions / petitions from the public.

Please note that all questions must be received by the committee officer detailed on the front of the agenda by **10am on Friday 1 February 2019**.

Petitions must be received by the committee officer detailed on the front of the agenda by **10am on Tuesday 5 February 2019**.

For guidance on submitting public questions or petitions please see 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

7 - 12

To approve the minutes of the meeting held on 16 January 2019.

#### 5 Council Tax Reduction Scheme 2019-20

13 - 24

**Purpose:** To consider and recommend to council a council tax reduction scheme for 2019-20.

#### 6 Business rates retail relief

25 - 30

**Purpose:** To consider the policy for business rate relief for certain retail business premises with a rateable value below £51,000.

#### 7 Revenue and capital budget monitoring 2018-19 - Period 9

31 - 52

**Purpose:** To update cabinet on the financial position of the council as at 31 December 2018.

#### 8 Write off of irrecoverable national non domestic rate debt - Key Decision

53 - 64

**Purpose:** To provide an update on the position as at 14 January 2019 with regard to the write off of non-recoverable national non domestic rate (NNDR) debt and request approval for the write-off of debts totalling £579,628.90 which are deemed irrecoverable.

<b>9</b>	<b>Procurement of various housing upgrade and maintenance contracts - Key Decision</b> <b>Purpose:</b> To inform cabinet of the procurement of various housing upgrades and to seek approval/delegated authority to approve to place the orders.	65 - 74
<b>10</b>	<b>Procurement of the housing communal area mechanical and electrical repairs and maintenance contract - Key Decision</b> <b>Purpose:</b> To advise cabinet of the procurement process for the provision of a new contract to deliver a responsive repairs and maintenance contract for mechanical and electrical services located within the council's housing asset communal areas.	75 - 82
<b>11</b>	<b>Procurement of a housing structural repairs contract - Key Decision</b> <b>Purpose:</b> To advise cabinet of the procurement process for two housing structural repairs contracts and to seek approval to award the contracts.	83 - 90
<b>12</b>	<b>Award of a contract for insurance - Key Decision</b> <b>Purpose:</b> To seek approval to delegate authority to award a contract for insurance.	91 - 98
<b>13</b>	<b>Risk management report</b> <b>Purpose:</b> To provide an update on progress in relation to risk management.	99 - 128
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## **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.

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### **\*15 Risk Based Verification Policy - (Para 7)**

- This report is not for publication because it would disclose information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of a crime as in para 7 of Schedule 12A to the Local Government Act 1972.

### **Key decisions**

A 'key decision' means a decision which is likely to either –

(a) result in the council incurring expenditure which is, or making savings which are, significant in relation to the council's total budget for the service or function to which the decision relates (for these purposes the presumption is that "significant" means any sum exceeding whichever is greater of the thresholds established by the European public contracts directive 2014/24/EC for local government in respect of contracts for supplies or services), or;

(b) be significant in terms of its effects on communities living or working in an area comprising two or more wards or electoral divisions in the Norwich city area.

Date of publication: **Monday, 28 January 2019**





**Cabinet**

**17:30 to 18:35**

**16 January 2019**

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

Also present: Councillor Carlo

**1. Public Questions/Petitions**

Two public questions had been received:

Dr Andrew Boswell, of Climate Emergency Planning and Policy, Environmental Consultancy, asked the cabinet member for safe city environment the following question:

“The Integrated Impact Assessment of ‘Energy and Climate Change’ for Item 6 on the Norwich Western Link has not been filled in by officers, suggesting that there is no idea of what the potential impacts of a Norwich Western Link will be on total carbon emissions. The comments made do suggest that officers have identified a need for an overall package including walking, cycling and public transport to be established before any realistic carbon assessment can be made.

The January 2018 advice to Government from the Committee on Climate Change advised that UK transport sector carbon emissions should be reduced by 44% between 2016 and 2030 (now out-of-date, i.e. 44% is potentially an underestimated percentage, because it is based on a national target of 80% reduction in emissions by 2050, and this is currently being reviewed after the IPCC 1.5 degrees report).

Will the cabinet commit Norwich City Council to not supporting any eventual overall transport package that does not achieve transport sector emission reductions greater than 44% by 2030 (or a figure compliant with any subsequent updated advice from CCC), and in the meantime to not supporting the Wensum Valley Link?”

Councillor Maguire, the cabinet member for safe city environment, replied:

“Thank for your question – and I must say “well spotted”. The box was not ticked due to simple human error. The response was compiled over a number of sessions and that particular box was ‘left till later’. This was, therefore, a straightforward omission. Having said that, lack of access to Norfolk County

Council's detailed modelling makes it very difficult to comment on what that impact might be. It was partly for this reason that only conditional support was given at cabinet in July 2018.

In July 2018 cabinet agreed that any support for the Western Link was subject to "the delivery of a programme of measures to secure significant transport improvements to encourage sustainable forms of transport as promoted by Transport for Norwich". Thus by making support conditional, the effective assessment of impact on the environment is that it would be neutral: it would lock the additional capacity provided by the link for use by other more sustainable means of transport. This might, of course, change as more information becomes available.

With regard to setting limits to carbon emissions from traffic (or other sources) around the Western Link, this is not something over which the city council has any control. This is unlike within the City itself where, through its partnership with Norfolk County Council through our membership of the Norwich Highways Advisory Committee (NHAC), we can have some say on traffic management."

By way of a supplementary question, Dr Boswell noted that there was a lack of access to Norfolk County Council decision making on transport matters and asked if cabinet would commit Norwich City Council to ensuring the transport policy within the Local Plan was in line with the latest environmental targets and advice on climate change.

In response Councillor Maguire, the cabinet member for safe city environment, said that the city council's environmental strategy would be published in May 2019 and matters would be addressed within that document.

The chair added that the Greater Norwich Local Plan was in the process of being developed and would be subject to consultation which individuals and groups could feed into to. There also existed an opportunity to ask questions at the Greater Norwich Growth Board meetings which covered a wider geography.

The second public question was from Mr Rupert Read:

"The County Council are budgeting to spend £2m in 2019-2020 for further design work on the so-called Norwich Western Link, a climate dangerous road plan that would moreover damage the unique Wensum valley, which is currently quiet and unpolluted, a Site of Special Scientific Interest. Can you confirm that the city council will not contribute any money for the Norwich Western Link, either for design now, or later for construction and/or loan servicing if the road were to go ahead?"

Councillor Stonard, the cabinet member for sustainable and inclusive growth, replied:

"Norwich City Council is not contributing any direct funding to the £2M pot for the design fees for the Western Link. At this stage it would be premature for me to give any guarantee either way about the city council's involvement in future funding of the Western Link. This will be considered when the county



council starts work on putting together any funding package for the delivery of the link.”

In response to Mr Read’s supplementary question Councillor Stonard said that Norfolk County Council used its capital expenditure to build roads whilst services were funded out of revenue expenditure.

## **2. Declarations of interest**

There were no declarations of interest.

## **3. Minutes**

**RESOLVED** to agree the accuracy of the minutes of the meeting held on 12 December 2018.

## **4. Response to the Norfolk County Council consultation on the Norwich Western Link route options**

(The chair agreed to move this item up the agenda)

Councillor Stonard, cabinet member for sustainable and inclusive growth, presented the report. He noted that the rationale of a Western Link was to remove traffic from suburban streets to the outer ring road, to reduce rat running in villages and to support economic growth. He said that if traffic was removed from the city centre, it would lead to less congestion and enable greater use of sustainable forms of transport such as buses and cycling.

Councillor Stonard said the Western Link would provide environmental benefits in a wider sense and reminded cabinet that the city council’s support was subject to the delivery of a programme of measures to secure significant transport improvements to encourage sustainable forms of transport. The impact therefore would be largely neutral. To highlight this commitment recommendations to this report had been amended and circulated. The second recommendation changed to read:

To remind Norfolk County Council that the council’s support for the Western Link is subject to the delivery of a programme of measures to secure significant transport improvements to encourage sustainable forms of transport, as promoted by Transport for Norwich and more specifically:

- to increase walking, cycling and use of public transport;
- to improve air quality; and
- to encourage inclusive growth and economic development.

He noted that there were four possible route options that Norfolk County Council were considering. These routes did not go through the Norwich City Council area and were primarily a matter for South Norfolk and Broadland district councils to comment on. However, the city council did not support route A as it provided the least amount of benefit, with provision for only 10,000 vehicles a day; the other three routes all offering 30,000.

Councillor Stonard highlighted that the consultation on the Western Link was still open and that others with different views were still able to contribute their thoughts to Norfolk County Council.

Councillor Carlo asked how the city council's support of the Western Link was compatible with the need to reduce greenhouse cases emission by 2030.

The chair encouraged Councillor Carlo to contribute to Norfolk County Council's ongoing consultation and said that the city council's support of the scheme was dependant on the delivery of a number of specific conditions. He said that cabinet had reflected on concerns raised in relation to traffic and amended its recommendations for this item accordingly.

**RESOLVED** to:

- (1) advise Norfolk County Council that the city council fully supports the principal of the proposal to construct the Norwich Western Link and that while the city council does not support option A it has no preference between options B, C and D; and
- (2) remind Norfolk County Council that the council's support for the Western Link is subject to the delivery of a programme of measures to secure significant transport improvements to encourage sustainable forms of transport, as promoted by Transport for Norwich and more specifically:
  - to increase walking, cycling and use of public transport;
  - to improve air quality; and
  - to encourage inclusive growth and economic development.

(A member of the public instigated a two minute silence at this point)

## **5. Draft Equality Information Report**

Councillor Davis, cabinet member for social inclusion, presented the report. She said that the format of the report had changed to infographics to make it accessible to a wider audience. The report published information about those that lived and worked in the city and council employees. Figures on pay for council employees had been updated and the report changed to take note of this; (agenda page 37 of the report had been amended and circulated to the meeting).

She noted that Norwich was a young city, influenced by its student population and that there were a high proportion of economically inactive residents. The report held no data on the working age population in receipt of benefits due to the introduction of universal credit it was not possible to get these figures. She highlighted that the pay gap for men and women working in the city had increased.

Members commended the improved presentation of the report. Councillor Harris noted that more commentary on what had not been included in the report and why would be useful. The strategy manager said that the figures on hate crimes and incidents were a useful data set which illuminated underlying community tension.

**RESOLVED** to approve publication of the annual equality information report as amended.

## **6. Greater Norwich Joint Five Year Infrastructure Investment Plan**

Councillor Waters, leader of the council, presented the report. He said the Greater Norwich Joint Five Year Investment Plan was a strategic plan which provided information on priorities for investment. He highlighted that one of the emerging trends was the amount of Community Infrastructure Levy (CIL) being received was less than had been forecast. He noted that forecasting CIL income was complex and one of the factors which had impacted on CIL income in the city was permitted development as it was excluded from paying CIL.

The report explained in detail how infrastructure delivery would continue with a reduced amount of CIL. It was proposed in the recommendations to use the cash reserve to support delivery and to forward plan a new cash reserve. He emphasised the work the Greater Norwich Growth Board had achieved and that the investment was vital to Norwich and Greater Norwich.

In response to member questions the city growth and development manager said that the Greater Norwich Infrastructure Plan was updated annually in June.

Councillor Carlo asked how many years the £2 million repayment on the loan from the Public Works Loan Board (PWLb) to deliver the Northern Distributor Road and Long Stratton Bypass was to be made. She asked if the loan from the PWLB was in addition to the £205 million used to fund the projects. The city growth and development manager advised she did not have the detail to hand but would respond outside of the meeting.

### **RESOLVED to:**

- (1) approve the Greater Norwich Joint Five Year Investment Plan;
- (2) agree the proposed 2019/20 Annual Growth Programme; and
- (3) agree that the cash reserve should be reallocated into the Infrastructure Investment Fund to support the delivery of previously agreed annual growth programmes, and support the establishment of a new cash reserve to be forward planned in future versions of the Plan.

CHAIR



**Report to** Cabinet  
06 February 2019  
**Report of** Director of business services  
**Subject** Council tax reduction scheme 2019-20

**Item**

**5**

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## **Purpose**

To consider and recommend to council a council tax reduction scheme for 2019-20

## **Recommendations**

To recommend that council:

- 1) make the following changes to the council tax reduction scheme for 2019-20 by continuing with the 2018-19 scheme with the following modifications:
  - a) as in previous years, increase the working-age applicable amount by the 2019-2020 composite rate of council tax (excluding adult social care);
  - b) increase the level of income brackets used to decide non-dependent deductions, and the level of non-dependent deductions, by the 2019-2020 composite rate of council tax (excluding adult social care);
  - c) increase the level of income brackets used to decide entitlement to *second adult reduction* by the 2019-2020 composite rate of council tax (excluding adult social care);
  - d) retain the local discount provision for care leavers;
  - e) retain the local discount provision for liable persons absent from a main dwelling due to domestic violence events;
  - f) create provision to maintain a single person discount for 3 months for liable persons where they give a home to an asylum seeker or refugee who has no ability to work;
- 2) remove the previous local discount for liable persons where a property is uninhabitable or in need of major repair work or structural alteration (currently 12 months at 50 per cent);
- 3) remove the unoccupied furnished/second home discount (currently 5 per cent);

- 4) subject to the relevant regulations being enacted, increase the surcharge on empty properties and increase the empty homes premium by:
- a) 100 per cent for properties empty and unoccupied for 2 years or more;
  - b) 200 per cent for properties empty and unoccupied for 5 years or more;
  - c) 300 per cent for properties empty and unoccupied for 10 years or more.

### **Corporate and service priorities**

The report helps to meet the corporate priority a fair city.

### **Financial implications**

As detailed in the report

**Ward/s:** All Wards

**Cabinet member:** Councillor Davis - Social inclusion  
Councillor Kendrick - Resources

### **Contact officers**

Anton Bull - Director of business services	01603 212326
Julie Gowling – LGSS, revenues and benefits operations manager	01603 212645
Carole Jowett – LGSS, revenues and benefits operations manager	01603 212684

### **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. The CTRS helps people on low incomes and/or certain welfare benefits to pay their council tax bill. This provides support to those under the greatest financial pressure.
3. Pensioners have been protected by the government so 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 various changes since then but maintaining the principle of a full support (100% discount) scheme. 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 13 September 2018 to review in detail options. A copy of the papers considered at that meeting is attached as Appendix 1.
7. The council tax reduction scheme cross party working group resolved, unanimously, to recommend the Council Tax Reduction Scheme 2019-2020 to cabinet and council based on the following principles.
  - (a) as in previous years, increase the working-age applicable amount by the 2019-2020 composite rate of council tax (excluding adult social care);
  - (b) increase the level of income brackets used to decide non-dependent deductions, and the level of non-dependent deductions, by the 2019-2020 composite rate of council tax (excluding adult social care);
  - (c) increase the level of income brackets used to decide entitlement to *second adult reduction* by the 2019-2020 composite rate of council tax (excluding adult social care);
  - (d) retain the local discount provision for care leavers;
  - (e) retain the local discount provision for liable persons absent from a main dwelling due to domestic violence events;
  - (f) create provision to maintain a single person discount for 3 months for liable persons where they give a home to an asylum seeker or refugee who has no ability to work;
  - (g) remove the previous local discount for liable persons where a property is uninhabitable or in need of major repair work or structural alteration (currently 12 months at 50 per cent);

- (h) remove the unoccupied furnished/second home discount (currently 5 per cent);
- (i) subject to the relevant regulations being enacted, increase the surcharge on empty properties and increase the empty homes premium by:
  - (a) 100 per cent for properties empty and unoccupied for 2 years or more;
  - (b) 200 per cent for properties empty and unoccupied for 5 years or more;
  - (c) 300 per cent for properties empty and unoccupied for 10 years or more.

### **Consultation**

- 8. As preceptors Norfolk County Council and the Office of the Police and Crime commissioner have been consulted on these proposed changes.
- 9. No comments have been received from Norfolk County Council or the Office of the Police and Crime commissioner at the time of writing the report.
- 10. The council has also recently consulted with Norfolk Community Law Service. Any comments received will be verbally reported.



## 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

<b>Committee:</b>	Cabinet
<b>Committee date:</b>	6/2/2019
<b>Director / Head of service</b>	Anton Bull
<b>Report subject:</b>	Council tax reduction scheme (CTRS) 2019-20
<b>Date assessed:</b>	23/1/2019

	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"/>	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. The overall impact is therefore assessed at neutral
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Maintaining the scheme protects the most vulnerable on low incomes
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"/>	

	<b>Impact</b>			
<b>Equality and diversity (please add an 'x' as appropriate)</b>	<b>Neutral</b>	<b>Positive</b>	<b>Negative</b>	<b>Comments</b>
<b>Relations between groups (cohesion)</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Eliminating discrimination &amp; 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 (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 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>

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

<b>Recommendations from impact assessment</b>				
<b>Positive</b>				
<b>Negative</b>				
<b>Neutral</b>				
<b>Issues</b>				



Minutes

## **Cross-party working group – council tax reduction scheme**

16:30 to 17:00

13 September 2018

**Present:** Councillors Kendrick (chair following appointment), Ackroyd, Davis, Price, Smith and Thomas (Va)

**Apologies:** Councillor Stonard

**In attendance:** Anton Bull (director of business services), Hannah Simpson (strategic finance business partner and deputy 151 officer), Carole Jowett (revenues and benefits operations manager) and Martin Bryant (benefits training and development officer) and Jan Ferguson (revenues reconciliation and returns officer)

### **1. Appointment of chair**

**RESOLVED** to appoint Councillor Kendrick as chair.

### **2. Declarations of interest**

Councillor Thomas declared that he was employed by Norfolk Community Law Service but had not been involved in any appeals against decisions made under the CTRS.

### **3. Council Tax Reduction Scheme (CTRS) 2018-20 and council tax discounts and exemptions**

The director of business services introduced the officers present and together they presented the report and answered members' questions. The city council received about 15 per cent of the council tax collected, could make recommendations on the operation of the CTRS and would consult Norfolk County Council and the Office of the Police and Crime Commissioner on the proposed scheme.

The director of business services then took each of the considerations for changes to the working-age CTRS 2019-20 as set out in Appendix 1 of the report:

During discussion, Councillor Price, chair of audit committee, asked for reassurance that provision for the CTRS had been taken into account in the medium term financial strategy. The strategic finance business partner said that provision had been made and although there was an option to plug a gap in the council's savings nothing had been put against it.

The director of business services explained the recommendation to move the local discount provision for care leavers from revenues and include it in the CTRS, thereby sharing the costs with the other preceptors, ie, saving the council 75 per cent of the costs. Members noted that last year it had been too late to include care leavers in the scheme and local discretion had been used. Members were advised that the county council was broadly in support of this proposal which formalised the current arrangements and supported care leavers up to 25 years of age as they moved to independent living. Discussion ensued in ensuring that the scheme reached all care leavers. Children's services had provided a list of care leavers for the discretionary discount under S13A. Care leavers would need to apply under the CTRS which could be a barrier to receiving the CTR, particularly those over 21 years of age who had less support from social services. A member also pointed out that mentally ill people did not always know that they could apply for CTR. The director of business services explained that the Section 13A discretionary discount would still be available. A member suggested that the council worked with Mancroft Advice Project (MAP) to reach as many eligible young people as possible.

The committee also considered the proposals to move the local discount provision for liable persons absent from their main dwelling due to domestic violence events from revenues to CTRS (section 5 of the report) and to formalise the current arrangement and share costs with the other preceptors.

Councillor Davis, cabinet member for social inclusion, spoke in support of the proposal to create CTRS provision for liable persons to retain a single person discount if they provided a home to a refugee or asylum seeker for a 3 month period whilst the refugee or asylum seeker obtained documentation and the right to work. There was one other council that was proposing this assistance to single people offering a home to refugees or asylum seekers.

Members then considered the changes to council tax discounts and exemptions as set out in Appendix 2 of the report.

Members considered that the local discount for uninhabitable dwellings could be removed as it was used in the main by developers. This was supported by an officer who said that at valuation tribunals it was nearly always a developer who was seeking this exemption. Genuine cases of hardship, where there had been a flood or fire, were less frequent and in many cases would be covered by insurance.

The working group considered that the discount for unoccupied furnished or second home discount should be removed. Members were advised that the discount had previously been 50 per cent but had gradually been reduced to its current level of 5 per cent. Members considered that it was not an incentive for home owners to let the property out to tenants and if an owner could afford a second home, they should be able to afford council tax.

Members then considered increasing the surcharge on empty properties which was currently going through the government's legislative process. Members considered that the additional charge should be increased and were advised that the proposed charges were the maximum permitted under the emerging regulations.

**RESOLVED** to recommend the Council Tax Reduction Scheme 2019-2020 to cabinet for consideration for public consultation and adoption by council based on the following principles:

- (1) as in previous years, increase the working-age applicable amount by the 2019-2020 composite rate of council tax (excluding adult social care);
- (2) increase the level of income brackets used to decide non-dependent deductions, and the level of non-dependent deductions, by the 2019-2020 composite rate of council tax (excluding adult social care);
- (3) increase the level of income brackets used to decide entitlement to *second adult reduction* by the 2019-2020 composite rate of council tax (excluding adult social care);
- (4) retain the local provision and include provision for care leavers within the CTRS;
- (5) retain both the local discount provision for liable persons absent from a main dwelling due to domestic violence events and additionally include provision to pay two dwellings for the same period within the CTRS;
- (6) create provision to maintain a single person discount for 3 months for liable persons where they give a home to an asylum seeker or refugee who has no ability to work;
- (7) remove the previous local discount for liable persons where a property is uninhabitable or in need of major repair work or structural alteration (currently 12 months at 50 per cent);
- (8) remove the unoccupied furnished/second home discount (currently 5 per cent);
- (9) subject to the relevant regulations being enacted, increase the surcharge on empty properties and increase the empty homes premium by:
  - (a) 100 per cent for properties empty and unoccupied for 2 years or more;
  - (b) 200 per cent for properties empty and unoccupied for 5 years or more;
  - (c) 300 per cent for properties empty and unoccupied for 10 years or more.

CHAIR





**Report to** Cabinet  
06 February 2019  
**Report of** Director of business services  
**Subject** Business rates retail relief

**Item**

**6**

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**Purpose**

To consider the policy for business rate relief for certain retail business premises with a rateable value below £51,000.

**Recommendation**

To approve the award of a business rates retail relief in line with the government's announcement in the autumn 2018 budget as detailed in the report.

**Corporate and service priorities**

The report helps to meet the corporate priority a prosperous and vibrant city

**Financial implications**

None. Funding will be provided by Central Government.

**Ward/s:** All Wards

**Cabinet member:** Councillor Kendrick - resources

**Contact officers**

Jo Andrews - strategic revenues manager - Anglia  
Revenues Partnership, ARP

01842 756490

**Background documents**

None

# **Report**

## **Background**

1. An announcement was made in the budget on 29 October 2018 that the government were introducing extra rate relief for certain retail business premises with a rateable value below £51,000.
2. Under the new scheme, eligible ratepayers will receive a one third discount of their daily chargeable amount. The government have issued guidelines on the operation of the relief which they intend should have effect for 2019/20 and 2020/21.
3. State aid rules will apply to the retail relief in the usual way.
4. Local Authorities are expected to use their discretionary relief powers (section 47 of the Local Government Act 1988, as amended) to grant this new relief in line with the relevant eligibility criteria set out in the guidelines. However, the full cost of granting this relief will be compensated through a section 31 grant from government.

## **How the relief be will provided**

5. As this is a measure for 2019/20 and 2020/21 only, the Government is not changing the legislation around the reliefs available to properties.
6. It is for individual local billing authorities to adopt a local scheme and determine in each individual case when, having regard to this guidance, to grant relief under section 47. Central government will fully reimburse local authorities for the local share of the discretionary relief (using a grant under section 31 of the Local Government Act 2003). The Government expects local government to apply and grant relief to qualifying ratepayers from the start of the 2019/20 billing cycle.

## **Properties that will benefit from this relief**

7. Only occupied hereditaments with a rateable value of less than £51,000, that are wholly or mainly being used as shops, restaurants, cafes and drinking establishments will be eligible.

## **How much relief will be available?**

8. The total amount of government-funded relief available for each property for 2019/20 and 2020/21 under this scheme is one third of the bill, after mandatory reliefs and other discretionary reliefs funded by section 31 grants have been applied, excluding those where local authorities have used their discretionary relief powers introduced by the Localism Act which are not funded by section 31 grants.
9. There is no relief available under this scheme for properties with a rateable value of £51,000 or more. Of course, councils may use their discretionary powers to offer further discounts outside this scheme. However, where an authority applies a locally funded relief, sometimes referred to as a hardship fund, under section 47 this is must be applied after the Retail Discount.

## 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

<b>Committee:</b>	Cabinet
<b>Committee date:</b>	06 February 2019
<b>Director / Head of service</b>	Anton Bull
<b>Report subject:</b>	Non Domestic Rates Retail Relief
<b>Date assessed:</b>	23/01/2019
<b>Description:</b>	To approve the award of retail relief in line with the government's announcement in the autumn 2018 budget

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input checked="" type="checkbox"/>		<input type="checkbox"/>	Provides support to retail businesses in the high street
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"/>	

	Impact			
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The scheme ensures that expenditure will not exceed funding

Recommendations from impact assessment
<b>Positive</b>
The overall impact is positive as it provides financial assistance to retail outlets in the city
<b>Negative</b>
<b>Neutral</b>
<b>Issues</b>

<b>Report to</b>	Cabinet	<b>Item</b>
<b>Report of</b>	Chief finance officer (Section 151 Officer)	<b>7</b>
<b>Subject</b>	Revenue and capital budget monitoring 2018/19 – Period 9	

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### Purpose

To update Cabinet on the financial position of the council as at 31 December 2018.

### Recommendation

- 1) To note the forecast outturn for the 2018/19 General Fund, HRA and capital programme;
- 2) To note the consequential forecast of the General Fund and Housing Revenue Account balances;
- 3) To approve the addition to the General Fund capital programme, as detailed in paragraph 11; and
- 4) To note the General Fund capital programme virement, as detailed in paragraph 12.

### 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 revenue budget is forecast to underspend by £1.612m.  
The Housing Revenue Account budget is forecast to underspend by £2.398m.  
The General Fund Capital Programme is forecast to underspend by £45.398m.  
The Housing Revenue Account Capital Programme is forecast to underspend by £18.558m.

**Ward/s:** All Wards

**Cabinet member:** Councillor Kendrick - Resources

### Contact officers

Karen Watling, chief finance officer	01603 212440
Adam Drane, finance business partner	01603 212567

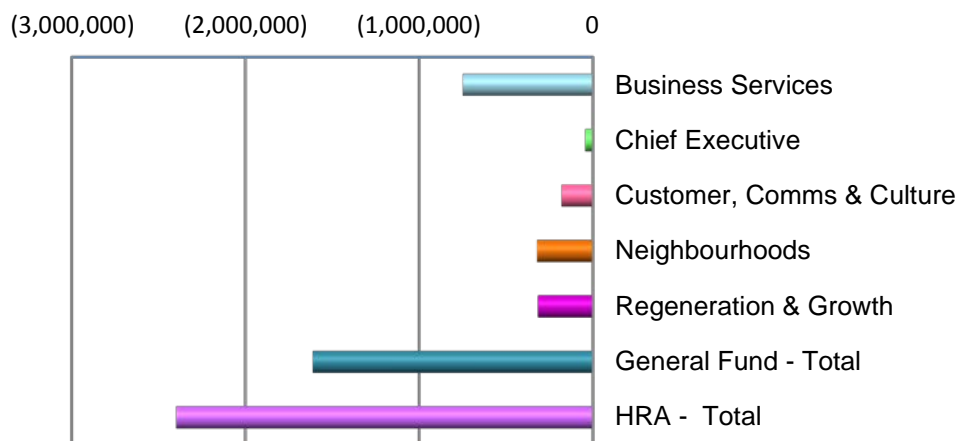
### Background documents

None

## Financial Position – Period 9 2018/19 Figures in 000s

General Fund	Current budget	Forecast outturn	Forecast variance
Expenditure	154,235	154,177	(59)
Income	(55,111)	(55,365)	(254)
Grants and subsidies	(99,125)	(100,423)	(1,299)
<b>Total</b>	<b>0</b>	<b>(1,612)</b>	<b>(1,612)</b>

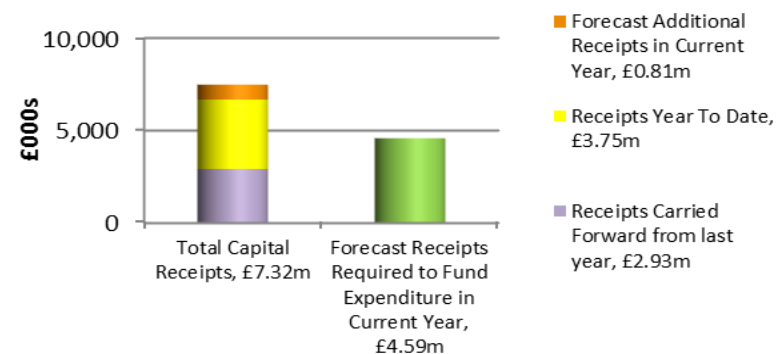
### Forecast variances by service area (under) and overspends



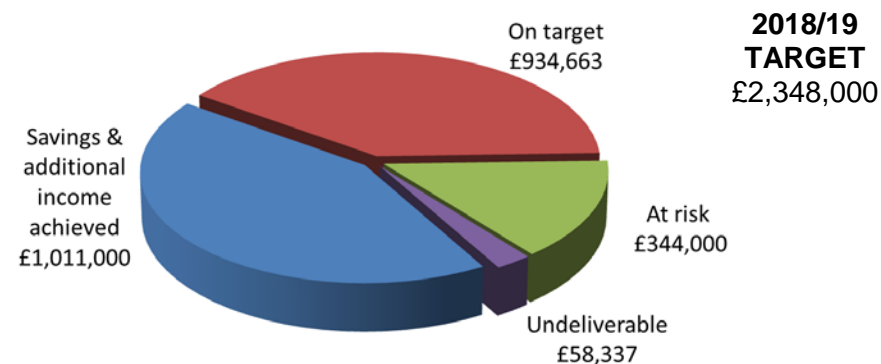
Housing Revenue Account	Current budget	Forecast outturn	Forecast variance
Expenditure	69,039	66,266	(2,774)
Income	(69,039)	(68,664)	375
<b>Total</b>	<b>0</b>	<b>(2,398)</b>	<b>(2,398)</b>

Capital programme	Current budget	Forecast outturn	Forecast variance
General Fund	80,365	34,967	(45,398)
Housing Revenue Account	45,857	27,495	(18,558)

### Non-Housing Capital Receipts



### Planned savings



- The General Fund revenue budget is forecast to underspend by £1.612m, mainly arising from higher than budgeted net income from new property acquisitions and staff vacancies.
- The HRA is forecast to underspend by £2.398m largely due to savings in the HRA dwellings repair budget.
- The General Fund capital programme is forecast to underspend by £45.398m mainly due to the asset acquisition budget not being fully utilised in 2018/19.
- The housing revenue account capital programme is forecast to underspend by £18.558m mainly due to the tower block regeneration project and new build projects re-profiled into the next financial year, reduction in grants to housing associations and an element of the Goldsmith Street development budget not being required.
- Both the General Fund and HRA reserves are expected to exceed their respective prudent minimum balances.



## General Fund Revenue Budget

1. The forecast is a £1.612m underspend at the year-end. This equates to 1.05% of the gross expenditure budget.

The key forecast budget variances (those with variances of +/- 100k) are set out below:

**Table 1: Key General Fund revenue budget variances (NB: figures in brackets represent savings or increased income)**

P7 Forecast Variance £000s	General Fund Service	P9 Forecast Variance £000s	Description and commentary
24	Business Services	(114)	Mainly due to fewer insurance settlements than anticipated
(536)	Finance	(595)	No external borrowing has been taken in respect of commercial property acquisition resulting in: <ul style="list-style-type: none"> <li>£443k - lower than budgeted interest costs in the short term,</li> <li>£117k - due to the timing of the purchases, the minimum revenue provision expense will not be due until 2019/20</li> </ul>
(192)	Citywide Services	(199)	The majority of the variance is due to: <ul style="list-style-type: none"> <li>£183k - vacant posts at the beginning of the year, some of which have now been filled.</li> </ul>
(96)	City Development	(279)	Forecast underspend due to : <ul style="list-style-type: none"> <li>£221k additional income on new property acquisitions</li> <li>£140k higher than anticipated income from off street car parks</li> <li>£69k unbudgeted rental income due to delay in property sale</li> </ul> Underspends partially offset by: <ul style="list-style-type: none"> <li>£88k forecast overspend on Highways due to lower amount of rechargeable work undertaken</li> </ul>

Further detail is set out in **Appendix 1**.

## Planned Savings

2. The 2018/19 net budget includes £2.348m planned savings. The current forecast indicates that £0.402m (17%) of these are at risk of not being delivered or will not be delivered, however this is offset by £0.940m where the savings have exceeded the target.

## Housing Revenue Account

3. Net expenditure on the HRA is forecast to be £2.398m underspent. The key forecast budget variances are set out below in Table 2.

**Table 2**

**Key HRA revenue budget variances (NB: figures in brackets represent savings or increased income)**

P7 Forecast Variance £000s	Housing Revenue Account	P9 Forecast Variance £000s	Description and commentary
(1,398)	Repairs & Maintenance	(2,403)	<p>The key variances are:</p> <ul style="list-style-type: none"> <li>£810k forecast underspend on major and minor repairs. Savings have been made on this element of work by changing the method of allocating the work and tightening the specification</li> <li>£420k forecast underspend on servicing of central heating generated from contract savings. Also, fewer responsive repairs required, which is a benefit of the capital investment in new heating installations over the past few years</li> <li>£255k forecast underspend on drainage as less work carried out in this area with planned work for the remainder of the year also below expected</li> <li>£250k forecast underspend on exterior painting – works now programmed across a seven year programme in order to generate a saving; some work originally due to be undertaken in 2018/19 has been deferred</li> <li>£197k underspend on voids work; based on actual work to date and work profiled for the remainder of the year</li> </ul>
(260)	Rents, Rates, & Other Property Costs	(269)	<p>The key variances are:</p> <ul style="list-style-type: none"> <li>£189k underspend due to Anglian Water actual less than originally budgeted due to more conversions to private meters than anticipated; partially offset by lower income against service charge budgets</li> <li>£25k forecast underspend on empty property charges based on current charges</li> <li>£28k Insurance premiums lower due to change of supplier</li> </ul>

P7 Forecast Variance £000s	Housing Revenue Account	P9 Forecast Variance £000s	Description and commentary
(158)	General Management	(217)	<p>The key variances are:</p> <ul style="list-style-type: none"> <li>£164k forecast underspend on salaries for vacant posts in various stages of recruitment</li> <li>£31k forecast underspend on decoration allowances</li> <li>£38k forecast saving on professional advice &amp; fees following review of budget</li> <li>£19k forecast underspend on premises costs as lower demand for environmental health and pest control services</li> <li>£17k tenant training forecast to be underspent due to current courses not being filled. Review of potential alternative courses underway</li> </ul>
(565)	Special Services	(662)	<p>The key variances are:</p> <ul style="list-style-type: none"> <li>£359k forecast underspend on district heating &amp; sheltered housing gas costs; partially offset by lower service charge income</li> <li>£150k unbudgeted income from the sale of the Community Alarm Service</li> <li>£66k saving due to reduction in staff costs</li> <li>£50k lower spend forecast on sheltered housing fixtures &amp; fittings pending review of property refurbishment requirements</li> </ul>
(69)	Dwelling Rents	120	Income lower than budgeted due to late delivery of new developments
506	Depreciation & Impairment	506	Based on the 18/19 latest dwelling depreciation charges movement. The increase is due to significant increase in the valuation, meaning higher depreciation on the structural element of the properties
413	Service Charges General	461	<p>The key variances are:</p> <ul style="list-style-type: none"> <li>£280k lower than budgeted district heating income due to reduced gas use; partially offset by underspend against district heating within special services</li> <li>£199k lower than budgeted Anglian Water service charge income due to reduced costs; offset by underspend against rents, rates, &amp; other property costs</li> </ul>

Further detail is set out in **Appendix 1**.

## Collection Fund

4. The Collection Fund includes all income generated from council tax and business rates that is due in the year from council taxpayers and ratepayers.

## Council Tax

5. Council tax collection is currently forecast to exceed budget. Any surplus or deficit on council tax income will be distributed in subsequent years.

**Table 3**

	<b>Budget £000s</b>	<b>Forecast £000s</b>	<b>(Surplus) / deficit £000s</b>
Total Council Tax Collection Fund Income	(64,169)	(65,259)	(1,090)
Norwich City Council Share (14.18%)	(9,100)	(9,255)	(155)

## Business Rates

6. The latest forecast shows a projected surplus of £149k on the general fund. This is due to additional unbudgeted Section 31 grant being received in 2018-19 in relation to a central government change in the compensation methodology for the small business rate relief. The forecast takes into account the higher forecast levy payment to the Norfolk Business Rates Pool.

**Table 4**

	<b>Budget £000s</b>	<b>Forecast £000s</b>	<b>(Surplus) / deficit £000s</b>
Norwich City Council Retained Income Share	(5,298)	(5,614)	(316)

## Impact on Balances

7. The prudent minimum level of General Fund reserves has been assessed as £4.232m. The budgeted and forecast outturn's impact on the 2017/18 balance brought forward is as follows:

**Table 5**

Item	£000s
Balance at 1 April 2018	(13,156)
Budgeted contribution from reserves 2018/19	1,504
Forecast outturn 2018/19	(1,612)
Transfer to commercial property reserve	822
<b>= Forecast balance at 31 March 2019</b>	<b>(12,442)</b>

The General Fund balance is, therefore, expected to continue to exceed the prudent minimum balance.

8. The prudent minimum level of HRA reserves has been assessed as £5.844m. The budgeted and forecast outturn's impact on the 2017/18 balance brought forward is as follows:

**Table 6**

Item	£000s
Balance at 1 April 2018	(30,489)
Budgeted contribution from reserves 2018/19	2,550
Forecast outturn 2018/19	(2,398)
<b>= Forecast balance at 31 March 2019</b>	<b>(30,337)</b>

The Housing Revenue Account balance is, therefore, expected to continue to exceed the prudent minimum balance.

9. An Invest to Save earmarked fund was created to allow the Council to support the delivery of savings and efficiencies, through the Fit for the Future Transformation Programme. The fund was created from revenue budget underspends in 2016-17 and 2017-18. The balance on the fund at 1 April 2018 was £2.6m. The Fit for the Future transformation timeline is nearing completion and future Cabinet reports will show intended spending plans.

## Capital Programme

10. The general fund capital programme is forecast to underspend by £45.398m and the HRA capital programme is forecast to underspend by £18.558m in this financial year.

**Key capital programme budget variances (NB: figures in brackets represent savings or increased income)**

**Table 7**

P07 Forecast Variance £000s	Capital Programme Group	P09 Forecast Variance £000s	Description and commentary
(1,041)	GF Capital Expenditure Programme (Including Capital Contingency)	(1,360)	<p>The following underspends reported within the GF Capital Expenditure programme-:</p> <ul style="list-style-type: none"> <li>• £94k: Grounds Maintenance Equipment. Lower than anticipated purchase costs and delayed acquisition.</li> <li>• £77k: Earlham Park toilet replacement. Works programmed for 2019/20.</li> <li>• £196k: CCTV upgrade. Installation will be completed in 2019/20.</li> <li>• £90k: Customer Centre re-design. Final cost of remedial works in reception area and to ceiling will be completed in 2019/20.</li> <li>• £878k: Three Score Development. Specific costs associated with the Three Score development unlikely to arise in 2018/19</li> </ul>

P07 Forecast Variance £000s	Capital Programme Group	P09 Forecast Variance £000s	Description and commentary
(949)	GF Capital Section 106/GNGP/CIL	(1,100)	<p>The following underspends reported within the GF Capital S.106/GNGP/CIL funded programme-:</p> <ul style="list-style-type: none"> <li>• £212k: Castle Green &amp; Gardens. Improvements. Project implementation delayed until 2019/20.</li> <li>• £150k: Football Pitch Improvements. FA report commissioned and delivered. Project to be implemented in 2019/20.</li> <li>• £90k: Riverside Walk Accessibility Improvements. Surveys completed. Outline schemes worked up. Delivery planned in 2019/20.</li> <li>• £305k: Riverside Walk (adj NCFC). Delivery delayed pending completion of latest phase of riverside residential development.</li> <li>• £150k: CIL Neighbourhood projects. Allocation of budget delayed whilst criteria for awarding funding re-assessed.</li> </ul>
(415)	GF Not Controlled By NCC	(702)	<p>The following underspends reported within the GF Not Controlled By NCC programme-:</p> <ul style="list-style-type: none"> <li>• £203k: S.106 funding for further extension of CCAG 20MPH zones. Programme will be completed in 2019/20.</li> <li>• £150k: Revised forecast for collection of CIL income before Y/E 2018/19.</li> <li>• £323k: City Cycle Ambition Grant. Forecast underspend on programme and schemes still to be completed.</li> </ul>
(39,634)	GF Asset Investment Programme	(42,228)	Decision taken to temporarily pause the purchase of commercial property until January 2019 when the Commercial Finance Business partner (now in post) is able to assist this programme

P07 Forecast Variance £000s	Capital Programme Group	P09 Forecast Variance £000s	Description and commentary
(5,546)	HRA Neighbourhood Housing	(8,080)	<p>The following underspends reported within the HRA Neighbourhood Housing Upgrade programme:</p> <ul style="list-style-type: none"> <li>• £498k: Whole House Improvements. Lower than forecast expenditure as a result of fewer void properties requiring complete refurbishment.</li> <li>• £1897k: Tower Block Regeneration. Forecast outturn reflects projects agreed and costed. Scope and timing of delivery of further programme of works being assessed.</li> <li>• £237k: thermal comfort - issues with planning and delays in structural repairs means fewer addresses available for upgrade this year.</li> <li>• £431k: Boiler Replacement (Domestic) - lower unit costs this year has resulted in a forecast saving</li> <li>• £432k: Boiler Replacement (Communal) - Forecast revised to reflect amended programme for replacements in 2018/19</li> <li>• £1,125k: Composite Doors - Installation programme delayed pending outcome of safety checks to ensure doors supplied meet revised building regulations.</li> <li>• £2,261k: Structural - Issues arising from termination of contract let to previous contractor have led to delay in tendering for works programmed for 2018/19.</li> <li>• £457k: Independent Living Upgrades. Fewer adaptations have been completed in 2018/19. Works completed at lower than historic cost.</li> <li>• £257k: Sheltered Housing Regeneration whole home and alarm upgrades. Budgets no longer required in 2018/19.</li> </ul>



P07 Forecast Variance £000s	Capital Programme Group	P09 Forecast Variance £000s	Description and commentary
(8,316)	New Build Social Housing	(7,906)	<p>The following underspends reported within the New Build Social Housing programme-:</p> <ul style="list-style-type: none"> <li>£4,884k: Goldsmith Street - Unrequired element of 2018/19 budget.</li> <li>£1,235k: Threescore Phase 2. Delivery of further sections to continue in 2019/20.</li> <li>£1,208k: Ber Street. Work continuing on project in 2019/20.</li> <li>£693k: Northumberland Street. Delivery of new affordable homes by private developer now scheduled for commencement in 2019/20.</li> </ul>
0	RTB Buybacks	(250)	<ul style="list-style-type: none"> <li>£250k: RTB Buyback budget. No properties meeting current housing requirements identified for buyback in 2018/19.</li> </ul>
(1,609)	Grants To Registered Housing Providers	(2,127)	<ul style="list-style-type: none"> <li>£2,127k: Forecast outturn anticipates delayed completion of developments by RP's where grant funding has been approved.</li> </ul>

Further detail is set out in **Appendix 2**

## 11. Addition to 2018/19 GF Capital Programme

Cabinet are asked to approve the addition of £129,528 to the 2018/19 General Fund capital programme. The budget is required to facilitate the utilisation of Disabled Facilities Grant (DFG) funding awarded to the council. The award of the grant follows the announcement in the 2018 budget that £55M of additional DFG capital funding was to be made available to local authorities for expenditure in 2018/19.

**Table 8**

Project	Existing Budget £000s	Proposed Increase £000s	Proposed Budget £000s
Disabled Facilities Grant	970	130	1,100
<b>Total</b>	970	130	1,100

12. The following General Fund capital programme virement was approved by CLT under delegated authority:

**Table 9**

<b>Scheme</b>	<b>Current Budget £s</b>	<b>Forecast Outturn 18/19 £s</b>	<b>Virement £s</b>	<b>Revised Budget £s</b>	<b>Description</b>
Non trafficked pedestrian bridges	55,000	21,000	(34,000)	21,000	To bring the funding for the Eaton Park Depot refurbishment in line with the successful tender submitted by Norse. The most urgent works required on pedestrian bridges during 2018/19 have been completed enabling the virement of the required funds.
Park Depots Demolition (Eaton Park depot refurbishment)	282,319	316,319	34,000	316,319	
<b>Total</b>	<b>337,319</b>	<b>337,319</b>	<b>0</b>	<b>337,319</b>	

## Integrated impact assessment



**NORWICH**  
City Council

### Report author to complete

<b>Committee:</b>	Cabinet
<b>Committee date:</b>	06/02/2019
<b>Head of service:</b>	Chief Finance Officer
<b>Report subject:</b>	Budget Monitoring 2018/19
<b>Date assessed:</b>	24/01/19
<b>Description:</b>	This is the integrated impact assessment for the Budget Monitoring 2018/19 report to Cabinet.

	Impact			
<b>Economic</b> (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"/>	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
<b>Other departments and services e.g. office facilities, customer contact</b>	<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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Financial inclusion</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Social</b> (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"/>	
<b>Human Rights Act 1998</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Health and well being</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 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

### Positive

None

### Negative

None

### Neutral

None

### Issues

The council should continue to monitor its budget performance in the context of the financial risk environment within which it operates.

## Revenue Budget Monitoring Summary Year: 2018/19 Period: 9 (December)

### General Fund Summary

Approved budget	Current budget		Forecast outturn	Forecast variance
5,491,851	5,491,851	Business Services	5,378,083	(113,768)
462,163	462,163	Democratic Services	415,402	(46,761)
(20,851,765)	(20,935,864)	Finance	(21,531,198)	(595,334)
0	0	Human Resources	(34,117)	(34,117)
0	0	Procurement & Service Improvement	40,587	40,587
<b>(14,897,751)</b>	<b>(14,981,850)</b>	<b>Total Business Services</b>	<b>(15,731,242)</b>	<b>(749,392)</b>
0	0	Chief Executive	(4,584)	(4,584)
204,413	204,413	Strategy & Programme Management	164,680	(39,733)
<b>204,413</b>	<b>204,413</b>	<b>Total Chief Executive</b>	<b>160,095</b>	<b>(44,318)</b>
2,071,779	2,151,813	Communications & Culture	2,065,291	(86,522)
(9,537)	(28,698)	Customer Contact	(122,447)	(93,749)
<b>2,062,242</b>	<b>2,123,115</b>	<b>Total Customers, Comms &amp; Culture</b>	<b>1,942,844</b>	<b>(180,271)</b>
10,150,063	10,180,042	Citywide Services	9,980,940	(199,102)
1,629,978	1,392,784	Neighbourhood Housing	1,314,750	(78,034)
800,281	866,038	Neighbourhood Services	821,272	(44,766)
<b>12,580,322</b>	<b>12,438,864</b>	<b>Total Neighbourhoods</b>	<b>12,116,961</b>	<b>(321,903)</b>
(2,471,702)	(1,961,999)	City Development	(2,240,559)	(278,560)
0	0	Environmental Strategy	(21,477)	(21,477)
0	0	Executive Head of Regeneration &	(9,854)	(9,854)
1,441,678	1,441,678	Planning	1,535,400	93,722
1,080,798	735,788	Property Services	636,254	(99,534)
<b>50,774</b>	<b>215,467</b>	<b>Total Regeneration &amp; Growth</b>	<b>(100,236)</b>	<b>(315,703)</b>
<b>0</b>	<b>0</b>	<b>Total General Fund</b>	<b>(1,611,577)</b>	<b>(1,611,577)</b>

### Housing Revenue Account Summary

Approved budget	Current budget		Forecast outturn	Forecast variance
13,487,435	13,487,435	Repairs & Maintenance	11,084,749	(2,402,686)
6,339,289	6,339,289	Rents, Rates, & Other Property Costs	6,070,225	(269,064)
11,965,228	11,965,228	General Management	11,748,394	(216,834)
4,818,963	4,818,963	Special Services	4,156,128	(662,835)
21,805,082	21,805,082	Depreciation & Impairment	22,310,663	505,581
190,000	190,000	Provision for Bad Debts	170,000	(20,000)
(56,968,090)	(56,968,090)	Dwelling Rents	(56,847,856)	120,234
(2,227,988)	(2,227,988)	Garage & Other Property Rents	(2,277,880)	(49,892)
(8,414,324)	(8,414,324)	Service Charges - General	(7,952,918)	461,406
(115,000)	(115,000)	Miscellaneous Income	(24,206)	90,794
9,646,135	9,646,135	Adjustments & Financing Items	9,691,283	45,148
(426,730)	(426,730)	Amenities shared by whole community	(426,730)	0
(100,000)	(100,000)	Interest Received	(100,000)	0
<b>0</b>	<b>0</b>	<b>Total Housing Revenue Account</b>	<b>(2,398,147)</b>	<b>(2,398,147)</b>

## General Fund summary by type

Approved budget	Current budget		Forecast outturn	Forecast variance
20,556,794	20,559,794	Employees	20,308,976	(250,818)
9,385,168	9,391,747	Premises	9,163,029	(228,718)
282,856	282,856	Transport	273,177	(9,679)
16,090,722	16,191,266	Supplies & Services	17,542,491	1,351,225
4,007,623	3,887,079	Third Party Payments	3,932,969	45,890
83,126,130	83,126,130	Housing Benefits & Business Rates Tariff	84,617,626	1,491,496
(63,298)	871,477	Capital Financing	254,117	(617,360)
800,000	800,000	Rev Contribs to Capital	800,000	0
(27,246,405)	(28,181,180)	Fees, charges and rental income	(29,146,772)	(965,592)
(99,134,946)	(99,124,525)	Government Grants	(101,914,706)	(2,790,181)
1,013,331	1,013,340	Centrally Managed	900,510	(112,830)
18,111,803	18,111,803	Recharge Expenditure	17,875,489	(236,314)
(26,929,778)	(26,929,778)	Recharge Income	(26,218,482)	711,296
<b>0</b>	<b>0</b>	<b>Total General Fund</b>	<b>(1,611,577)</b>	<b>(1,611,577)</b>

## Housing Revenue Account summary by type

Approved budget	Current budget		Forecast outturn	Forecast variance
5,679,599	5,649,599	Employees	5,402,116	(247,483)
22,950,924	22,950,924	Premises	19,899,881	(3,051,043)
112,285	112,285	Transport	97,584	(14,701)
2,777,110	2,807,110	Supplies & Services	2,834,236	27,126
3,410	3,410	Third Party Payments	1,560	(1,850)
7,112,273	7,112,273	Recharge Expenditure	7,121,003	8,730
5,131,340	5,131,340	Capital Financing	5,131,340	0
(68,530,117)	(68,530,117)	Receipts	(68,154,623)	375,494
0	0	Government Grants	0	0
(509,224)	(509,224)	Recharge Income	(509,224)	0
11,144,366	11,144,366	Rev Contribs to Capital	11,144,366	0
14,128,034	14,128,034	Capital Financing	14,633,615	505,581
<b>0</b>	<b>0</b>	<b>Total Housing Revenue Account</b>	<b>(2,398,147)</b>	<b>(2,398,147)</b>



**Capital Budget Monitoring Summary Year: 2018/19**  
**Period: 9 (December)**

**Appendix 2**

<b>GF Capital Expenditure Programme</b>	<b>Current Budget</b>	<b>Forecast Outturn</b>	<b>Forecast Variance</b>
2705 Grounds Maintenance	559,580	465,567	(94,013)
5093 Norwich Parks tennis expansion	0	11,810	11,810
5097 Riverbank stabilisation	82,500	82,500	0
5099 St Giles MSCP - replace central	14,500	14,500	0
5190 Hewett Yard refurb - Communal toilet	6,600	6,000	(600)
5191 Hewett Yard refurb - Surfacing	19,250	19,250	0
5192 Hewett Yard refurb - Roofing	15,000	14,000	(1,000)
5193 Royal Oak Court - Demolition	38,500	38,000	(500)
5194 City Hall - Fire system detector	45,000	45,000	0
5195 City Hall - Fire System control panels	17,000	17,000	0
5196 Community Centre fire detection	21,000	10,000	(11,000)
5198 Earlham Park toilet replacement	86,750	10,713	(76,037)
5199 Eaton Park path replacement	45,000	45,000	0
5345 HR System	63,273	63,273	0
5351 Credit and Debit card upgrade	32,822	32,822	0
5352 Non trafficked pedestrian bridges	21,000	21,000	0
5353 Strangers Hall stores roof	27,500	26,250	(1,250)
5354 Riverside Footpath District Lighting	21,000	23,000	2,000
5355 City Hall heating system	17,250	3,500	(13,750)
5356 Castle Museum windows	29,400	23,000	(6,400)
5357 Pulls Ferry quay heading	16,500	16,500	0
5362 St Giles MSCP Lift Controller	35,500	35,500	0
5367 Norwich Historic Churches	15,000	15,000	0
5368 Pilling Park Community Centre	10,600	10,600	0
5020 CCTV replacement	250,935	54,269	(196,666)
5324 City Hall 2nd Floor	0	1,220	1,220
5332 City Hall external lighting	5,556	8,474	2,918
5350 Parking Management System	65,825	63,835	(1,990)
5040 Customer centre redesign	440,363	350,000	(90,363)
5966 St Giles MSCP	20,000	21,448	1,448
5512 NaHCASP Threescore	942,877	64,694	(878,183)
5305 Eco-Investment Fund	0	2,540	2,540
5317 IT Investment Fund	348,439	348,439	0
5343 Finance System	241,869	241,869	0
5327 Park Depots demolition	316,319	306,319	(10,000)
5490 Investment for regeneration	130,000	130,000	0
8475 Mile Cross Depot Site	550,000	550,000	0
<b>Total GF Capital Expenditure Programme</b>	<b>4,552,708</b>	<b>3,192,892</b>	<b>(1,359,816)</b>

<b>GF Capital Section 106/GNGP/CIL</b>	<b>Current Budget</b>	<b>Forecast Outturn</b>	<b>Forecast Variance</b>
5742 Play Sector 3 & 4 improvements	5,815	0	(5,815)
5835 S.106 Bowthorpe To Clover Hill	25,302	4,900	(20,402)
5837 St Stephens Towers Public Realm	10,000	2,700	(7,300)
5705 s106 The Runnel Play Provision	40,261	34,907	(5,354)
5728 S106 Mile Cross Gardens Play	70,717	70,717	0
5735 s106 Castle Green Play	75,891	13,931	(61,960)
5740 Bowthorpe Southern park	10,000	5,000	(5,000)
5801 s106 Hurricane Way Bus Link	32,427	32,427	0
5813 S106 Green Infrastructure Imps	14,565	14,565	0
5823 BRT & Cycle Route Measures	76,283	0	(76,283)
5829 S106 UEA CPZ Extension	37,201	37,201	0
5838 S.106 Bus Shelter Installation Clover	4,000	4,000	0
5563 CIL GNGB Castle Gardens	150,000	0	(150,000)
5564 CIL GNGB Football Pitch	115,000	0	(115,000)
5565 CIL GNGB Marriotts Way Barn Road	1,760	1,500	(260)
5566 CIL GNGB Riverside Walk	105,408	15,408	(90,000)
5567 GNGB IIF M Way, A Meadow to	6,000	1,400	(4,600)
5569 UEA to Eaton boardwalk extension	30,000	5,000	(25,000)
5921 Earlham Millenium Green	25,000	8,000	(17,000)
5964 GNGP Bowthorpe Crossing	92,993	84,493	(8,500)
5322 Riverside Walk (adj NCFC)	305,189	0	(305,189)
5596 CIL Crowdfunding matched funding	30,000	10,000	(20,000)
5598 Mile Cross cycle and pedestrian links	23,857	500	(23,357)
5599 CIL Parish Partnership matched	20,000	20,000	0
5558 Co-CIL Nhood Ketts Heig	7,009	7,009	0
5559 CIL Nhood 20 Acre Wood	9,062	4,000	(5,062)
5560 CIL Nhood Chapel Break play area	0	220	220
5562 CIL Nhood Community Enabling	6,993	1,993	(5,000)
5592 CIL neighbourhood - Natural	6,491	6,491	0
5595 CIL neighbourhood - Netherwood	0	847	847
5557 CIL Neighbourhood Projects	150,000	0	(150,000)
<b>Total GF S106/GNGP/CIL Programme</b>	<b>1,487,224</b>	<b>387,209</b>	<b>(1,100,015)</b>



HRA Capital Programme Group	Current Budget	Forecast Outturn	Forecast Variance
Community Upgrades	812,308	767,000	(45,308)
Heating Upgrades	4,917,192	4,053,000	(864,192)
Home Upgrades	6,144,853	5,384,300	(760,553)
Independent Living Upgrades	1,074,089	616,606	(457,483)
Preventative Upgrades	8,605,033	4,445,458	(4,159,575)
Sheltered Housing Regeneration	258,030	1,000	(257,030)
Thermal Upgrades	1,713,316	1,433,950	(279,366)
Window & Door Upgrades	1,798,156	638,636	(1,159,520)
Site Development	100,000	15,000	(85,000)
New Build Social Housing	17,230,877	9,215,313	(8,015,564)
RTB Buyback Programme	250,000	0	(250,000)
Grants to Registered Housing Providers	2,809,157	682,270	(2,126,887)
CCTV Replacement	144,250	47,000	(97,250)
<b>Total HRA Capital Programme</b>	<b>45,857,261</b>	<b>27,299,533</b>	<b>(18,557,728)</b>



<b>Report to</b>	Cabinet	<b>Item</b>  <b>8</b>
	06 February 2019	
<b>Report of</b>	Director of business services	
<b>Subject</b>	Write off of irrecoverable national non domestic rate debt	

## KEY DECISION

### Purpose

To provide an update on the position as at 14 January 2019 with regard to the write off of non- recoverable national non domestic rate (NNDR) debt and request approval for the write-off of debts totalling £579,628.90 which are deemed irrecoverable.

### Recommendation

To approve the proposed write off of £579,628.90 of NNDR debt which is now believed to be irrecoverable.

### 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 cost to the collection fund of write offs is shared as follows: Central Government 50%, Norwich City Council 40% and Norfolk County Council 10%. However, each year an assessment of debt is undertaken to set a Bad Debt provision within the Collection Fund.

These write-offs of £579,628.90 will mean that there will be £459,698.38 left in the bad debt provision for 2018/19.

**Ward/s:** All wards

**Cabinet member:** Councillor Kendrick - resources

### Contact officers

Anton Bull, director of business services	01603 212326
Carole Jowett, revenues and benefits operations manager	01603 212684

## National Non Domestic Rates

1. National Non Domestic Rate income for 2018/19 is forecast to total £75m. Significant work is undertaken by the Revenues and Benefits team to pursue all outstanding debt. However, there are debts where despite this work, the debt is believed to be irrecoverable often because the company owing the money has become insolvent. In the year to 14/01/2019 £526,971.21 of NNDR debt has been written off which is the equivalent of 0.71% NNDR annual income.
2. Four further amounts totalling £579,628.90 require cabinet approval for write-off because of their value and these debts relate to four companies. The first is for Homebase Ltd as they have a CVA (Company Voluntary Arrangement) in place as of 31/08/2018. The Norwich store falls under the Category 5 compromised leases and rating authorities. The full charge is payable for 275 days up to and including 31/12/2018. For the remaining period of 90 days the CVA terms state they will only pay 10% of the balance. The company will then resume payments as per normal with effect from April 2019. To ensure this happens seamlessly, the residual 90% which amounts to £99,092.54 needs to be written off.
3. The second company is Genus UK Ltd T/A Select (Retail), again there is a CVA in place as of 12/04/2018. The terms being, distribution is 5p/£, the completion date is 13/10/2018 and dividend November 2018, therefore the balance has to be written off across the 3 accounts they have with us and this totals £80,818.67.
4. The third company is Game Station Ltd, the company owes rates account 9354854 with a balance of £157,842.39 and BID2 account 5215248 which has a balance of £713.04. The liability on these accounts is to 30/10/2018 because the lease was disclaimed as of 31/10/2018. To explain the history, this company (company number 03547594) went into Administration over 3 years ago and this ended on 25/09/2015, the company was then dissolved on 21/01/2016. There was an overriding lease with the landlord holding guarantor JD Sports Fashion Plc liable for rent on basis of counterpart lease from 22/10/2013. A 25 year lease granted from 14/11/1995 was assigned to Games Station Ltd in 2005. In summary this meant that the company was therefore still liable / responsible for rates and BID levy on 3/4 Castle Mall despite its status and no exemption could be granted from 26/09/2015 following the end of its Administration period.
5. The final company is Flexi Office Solutions Ltd and the total debt is £241,875.30 which covers 40 accounts for various assessments at 51/59 Rose Lane –known as the Union Building. The company (company number 09514945) was dissolved on 29/08/2017 meaning that we are unable to pursue collection any further. The occupation periods for these accounts were confirmed by the freehold owner Harold & Sons Limited (director Mr Christophi). Flexi Office Solutions Ltd managed The Union Building (6 floors multiple assessments) on behalf of the freehold owner Harold & Sons Limited between April 2015 and August 2017. During this period we

became aware of numerous changes of use being made throughout the building to the various assessments and, these had to be reported to the Valuation Office Agency (VOA) for them to make any amendments as they saw fit. Unfortunately, our powers when collecting this sort of information are limited and attempts to visit the premises to ascertain the necessary information were hindered by either Flexi Office or Harold & Sons . We then experienced delays to the billing process due to the time taken by the VOA to respond with a decision. A summary of changes made can be found on pages 4-7 of this report.

6. The cost to the collection fund of write offs is shared as follows: central government 50%, Norwich City Council 40% and Norfolk County Council 10%. The Norwich City Council share of write-off's to date including the ones proposed in this report is £442,640.04.
7. Each year an assessment of debt is undertaken to set the bad debt provision within the collection fund. These write offs will be charged in full against the provision.

## **Flexi Office Solutions Ltd summary of changes**

Account 9426751, w/o £15537.54 liability 20/4/15-28/8/17 for Car Park Level 1 East Wing. This was originally assessed as a restaurant and was queried as from 20/4/15 Flexi took over this space as a covered car park. This was reported BA report 4646 uploaded 11/11/16. This was amended in the 2010 List u/d 28/2/17 reducing the 2010 List RV from £25500-14250 from 1/4/10 and changing the description from Restaurant and Premises to Car Park and Premises.

Account 9426838 w/o £1605.68 20/4/15-30/11/15 for Room 2 Level 1

Account 9426773 w/o £1939.06 20/4/15-30/11/15 for Room 4 Level 1

Account 9426762 w/o £863.15 20/4/15-30/11/15 for Room 6 Level 1. These assessments which were in the List when Flexi Office Solutions took over the building from 20/4/15 and were reported for review BA report 4702 uploaded 23/2/17. These and other assessments which did not attract an empty charge were subject to a 6-7 Reconstitution with effect from 1/12/15 in the 2010 List and from 1/4/17 in the 2017 List on the 12/7/17 VOA update schedules.

The charges due from Flexi on some of the successor assessments created from 1/12/15 were as follows:

Account 9463556 w/o £2983.22 1/2/15-10/7/17 for Room 3 Level 1 West Wing. The office was empty prior to it being let from 11/7/17 to a tenant.

Account 9463545 w/o £611.04 1/12/15-28/6/16 for Room 2 Level 1 West Wing. The office was empty prior to it being let from 29/6/16 to a tenant.

Account 9463567 w/o £1464.81 1/12/15-28/2/17 for Room 4 Level 1 West Wing. The office was empty prior to it being let from 1/3/17 to a tenant.

Account 9463578 w/o £586.64 1/12/15-31/5/16 for Room 5 Level 1 West Wing. This office was empty prior to it being let from 1/6/16 to a tenant.

Account 9463589 w/o £2,792.32 1/12/15-30/7/17 for Room 6 Level 1 West Wing. The office was empty prior to it being let from 31/7/17 to a tenant.

Account 942673X w/o £41884.18 20/4/15-30/11/15 for Levels 2 and 3 Winterthur House. This was reported BA report 4449 uploaded 14/3/16. A 1-17 SPLIT with effect from 1/12/15 was done on 10/8/16 2010 List update – this also covered the separate part of Level 3 below.

Account 9426740 w/o £3398.81 20/4/15-30/11/15 for NWRE Level 3 Pt Winterthur House. This was reported BA report 4641 uploaded 11/11/16. It was removed from the Rate List with effect from 1/12/15 and from 1/4/17 on 28/2/17 2010 and 2017 List updates as it was deemed to be part of the area covered by the reconstitution of Levels 2 and 3.

The charges due from Flexi on some of the successor assessments created from 1/12/15 were as follows:



Account 9445797 w/o £32,783.80 1/12/15-28/8/17 for Level 2 East Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17.

Account 944571X w/o £3318.23 1/12/15-31/10/16 for Rooms 1 & 2 Level 2 West Wing. The office was empty prior to it being let from 1/11/16 to a tenant.

Account 9445731 w/o £1317.79 1/12/15-30/4/16 for Room 5 Level 2 West Wing - The office was empty prior to it being let from 1/5/16 to a tenant.

Account 9445742 for Room 6 Level 2 West Wing - £140.82 1/12/15-6/3/16. The office was empty prior to it being let from 7/3/16 to a tenant.

Account 9445753 for Room 7 Level 2 West Wing - £948.33 1/12/15-30/6/16. The office was empty prior to it being let from 1/7/16 to a tenant.

Account 9445764 for Room 8 Level 2 West Wing - £1242.63 1/12/15-15/9/16. The office was empty prior to it being let from 16/9/16 to a tenant.

Account 9445775 for Room 9 Level 2 West Wing - £1124.66 1/12/15-17/5/16. The office was empty prior to it being let from 18/5/16 to a tenant

Account 944581 for Server Room Level 3 West Wing - £5262.16 1/12/15-28/8/17. This assessment is assessed as in use and Flexi Office Solutions was dissolved. 29/8/17

Account 9446593 for Room 2 Level 3 West Wing - £565.85 1/12/15-9/5/16. The office was empty prior to it being let from 18/5/16 to a tenant.

Account 9426827 w/o £15177.32 20/4/15-2/1/16 for Level 4 East Wing. This was reported BA report 4703 uploaded 23/2/17. A 1-10 split with effect from 3/1/16 and from 1/4/17 on 12/7/17 2010 and 2017 List updates.

The charges due from Flexi on the successor assessments created from 3/1/16 were as follows:

Account 9463621 w/o £6935.26 3/1/16-28/8/17 for Room 1 Level 4 East Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17.

Account 946362 w/o £1309.83 3/1/16-28/8/17 for Room 2 Level 4 East Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17.

Account 9463643 w/o 3104.37 3/1/16-28/8/17 for Room 3 Level 4 East Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17

Account 9463665 w/o £6935.26 3/1/16-28/8/17 for Room 5 Level 4 East Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17

Account 9463676 w/o £1631.11 3/1/16-28/8/17 for Room 6 Level 4 East Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17

Account 9463687 w/o £6935.26 3/1/16-28/8/17 for Room 7 Level 4 East Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17

Account 9463698 w/o £1606.40 3/1/16-28/8/17 for Room 8 Level 4 East Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17

Account 9426729 w/o £9,971.19 period 20/4/15-27/1/16 for Level 4 Winterthur House. This assessment was billed based on the assessment as it was when Flexi took the property over. This was on BA report 4450 uploaded 14/3/16. A 1-4 SPLIT effective 28/1/16 was done on the 2010 List update 20/7/16

The charges due from Flexi on some of the successor assessments created from 28/1/16 were as follows:

Account 9445198 w/o £1250.97 28/1/16-28/8/17 for Server Room Level 4 West Wing. This assessment is assessed as in use and Flexi Office Solutions was dissolved. 29/8/17

Account 9445176 w/o £3984.57 28/1/16-28/8/17 for Communal Kitchen Level 4 West Wing. This assessment is assessed as in use and Flexi Office Solutions was dissolved. 29/8/17

Account 9445862 w/o £8798.09 1/7/16-28/8/17 for Room 1 Level 4 West Wing. The previous tenant moved out of the office from 1<sup>st</sup> July 2016 and Flexi Office Solutions was dissolved 29/8/17.

Account 9426816 w/o £10470.87 20/4/15-31/10/15 for Level 5. This was reported BA report 4448 uploaded 14/3/16. A 1-2 split with effect from 1/11/15 was done on 6/7/16 update to create separate assessments for the East and West Wing of Level 5

The East Wing assessment created from 1/11/15 was let to a tenant. This was on BA report 4736 uploaded 23/3/17. A 1-4 SPLIT with effect from 2/5/16 u/d 12/7/17 on 2010 and 2017 Lists.

The charges due from Flexi on some of the successor assessments created from 2/5/16 were as follows:

Account 9463796 w/o £6719.63 2/5/16-28/8/17 for Room 1 Level 5 East Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17.

Account 9463828 w/o £4440.73 2/5/16-28/8/17 for Room 3 Level 5 East Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17.

Account 9463839 w/o £1974.79 2/5/16-28/8/17 for Room 4 Level 5 East Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17.

The West Wing assessment created from 1/11/15 was the responsibility of Flexi but was subject to an empty exemption from 1/11/15 and reported on BA report 4705 uploaded 23/2/17 and subject to a 1-4 SPLIT from 4/1/16 u/d 12/7/17.

The charges due from Flexi on some of the successor assessments created from 4/1/16 were as follows:

Account 9463752 w/o £9076.89 4/1/16-28/8/17 for Room 1 Level 5 West Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17.

Account 9463763 w/o £2990.06 4/1/16-28/8/17 for Room 2 Level 5 West Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17.

Account 9463785 w/o £5833.23 4/1/16-28/8/17 for Room 4 Level 5 West Wing. This office is empty and Flexi Office Solutions was dissolved. 29/8/17

Account 9426784 w/o £11353.75 20/4/15-6/10/16 for Level 6. This assessment was empty and assessed as offices to 6/10/16 and has been let from 7/10/16 and assessed as a restaurant since this date.

I trust this is what you need and should give you some background on all the assessments that have been charged to and were not paid by Flexi Office Solutions Ltd prior to its dissolution on 29/8/17.

## Integrated impact assessment



**NORWICH**  
City Council

### Report author to complete

<b>Committee:</b>	Cabinet
<b>Committee date:</b>	06/02/2019
<b>Director / Head of service</b>	Director of business services
<b>Report subject:</b>	Write-off of non-recoverable National Non Domestic Rate debt
<b>Date assessed:</b>	23/01/2019

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	X	<input type="checkbox"/>	The report shows that the council monitors its debt levels and pursues debt wherever there is a reasonable chance of recovery resulting in a low level of debt write off.
Other departments and services e.g. office facilities, customer contact	X	<input type="checkbox"/>	<input type="checkbox"/>	
ICT services	X	<input type="checkbox"/>	<input type="checkbox"/>	
Economic development	X	<input type="checkbox"/>	<input type="checkbox"/>	
Financial inclusion	X	<input type="checkbox"/>	<input type="checkbox"/>	
Social (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Safeguarding children and adults	X	<input type="checkbox"/>	<input type="checkbox"/>	
<u>S17 crime and disorder act 1998</u>	X	<input type="checkbox"/>	<input type="checkbox"/>	
Human Rights Act 1998	X	<input type="checkbox"/>	<input type="checkbox"/>	
Health and well being	X	<input type="checkbox"/>	<input type="checkbox"/>	

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

	Impact			
<b>Risk management</b>	<input type="checkbox"/>	X	<input type="checkbox"/>	The report demonstrates that the council is aware and monitors risks to the collection of its income.

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 levels of debt and take action to recover where possible and costs effective to do so.	





<b>Report to</b>	Cabinet	<b>Item</b>
	06 February 2019	
<b>Report of</b>	Director of neighbourhoods	<b>9</b>
<b>Subject</b>	Procurement of various housing upgrade and maintenance contracts	

## KEY DECISION

---

### Purpose

To inform Cabinet of the procurement of various housing upgrades and to seek approval/delegated authority to approve to place the orders

### Recommendation

- (1) To approve the award of the heating installation contract to three contractors as set out in the report;

PH Jones Ltd  
Dodd Group  
Gasway Services Ltd

- (2) To approve the award of installation of composite doors to two contractors as set out in the report;

Ashford Windows Ltd  
Anglian Building Products Ltd

- (3) To delegate authority to the director of neighbourhoods in consultation with the deputy leader and social housing portfolio holder, to award a contract to the best value supplier for the external wall insulation, and loft and cavity insulation contracts.

### Corporate and service priorities

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

### Financial implications

The costs arising from this report are included within the Housing Revenue Account (HRA) budget for financial years commencing 2019/20 which are subject to approval by council in February 2019.

**Ward/s:** All Wards

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

### Contact officers

Lee Robson, Head of neighbourhood housing	01603 212939
Carol Marney, Interim operations director NPS Norwich	01603 227904

## **Background documents**

None

# Report

## Introduction

1. The Council has a programme of housing repairs, servicing and upgrades implemented via a number of term contracts, framework contracts and ad-hoc tenders. The upgrades include replacement heating systems, new composite doors, and various forms of insulation. These works ensure that the Norwich standard for housing is upheld so that tenants can live in well-maintained homes that are fit for purpose and cost-effective to heat.
2. Fuel poverty is a significant issue for many council tenants but it can be reduced through the installing of insulation. External wall insulation and loft and cavity wall insulation are simple and effective ways to retain heat within a property, which help to reduce energy bills. The insulation also improves the energy score of the property which evidences a reduction in the carbon footprint of each property and of the city as a whole.
3. As one of the council's ongoing programmes of work which aims to help residents who experience fuel poverty, the programme targets homes that have been identified as having low levels of insulation, which are identified through various surveys.
4. This report seeks approval for the award of a number of contracts which seek to help alleviate the issues of fuel poverty.
5. These and a number of other contracts are procured through the frameworks set up by Eastern Procurement Ltd (EPL). As a member of EPL, the council benefits from the lower rates achieved from grouping the work required by all of its members. A framework lasts for up to four years. It is proposed that the contracts outlined in Appendix 1 are awarded to deliver the 2019/20 HRA capital programme.

## Replacement Heating Installations

6. The existing arrangement for delivery of heating installations has been through the EPL Framework contract and it is proposed to continue with this arrangement as it provides competitive rates. The 2018/19 delivery has been divided across three contractors to ensure successful delivery of the work. This arrangement has worked well during this year with all three contractors performing well.
7. It is recommended that this arrangement continues across the same three contractors with PH Jones being awarded the highest number of upgrades this year due to their lower cost and at the same time retaining the services of Gasway and Dodd, but at small number of upgrades as shown below:

Contractor	Volume of upgrades
PH Jones Ltd	472
Dodd Group	150
Gasway Services Ltd	150

8. There is no minimum value of work guaranteed to each of the contractors each year; however the estimated value of the heating installations that are proposed to be installed as shown above, is £2.7m. Cabinet are requested to award these contracts subject to the budget being approved by Council.

### **Replacement composite doors**

9. The Norwich Standard includes the commitment to renew all front and rear doors regardless of current age, type or condition.
10. The benefits of this are to reduce the need for maintenance such as painting as well as providing a higher degree of thermal comfort, by reducing heat loss through the door, because of greater insulation.
11. The door design also provides for greater security as the new door locking mechanism is secure by design, complying with new current regularity guidance.
12. It is proposed to continue with the same arrangement as in 2018/19 which is to award to two suppliers:

Ashford Windows

Anglian Building Products

13. Both companies are currently carrying out these contracts and are fully mobilised to carry out the new contracts for 2019/20.
14. All prices supplied for the framework contract (7 in total), except the first and last ranked suppliers' prices, were within 2.7% of each other with the two selected suppliers being at the lower end of this range.
15. There is no minimum value of work guaranteed to the contractor each year, however the estimated value of the new doors, awarded in equal proportions is £2.142m. Cabinet are requested to award these contracts subject to the budget being approved.

### **External Wall Insulation**

16. It is proposed to use the EPL dynamic purchasing system (DPS) to procure a contractor for external wall insulation. Tenders will be sent to the contractors on the DPS framework and evaluated by EPL. The value of work is estimated at £384,000 and the contract duration will be for one year.
17. Cabinet are requested to delegate authority to the director of neighbourhoods in consultation with the deputy leader and portfolio holder for social housing to award the contract once the tender has been evaluated.

### **Loft and Cavity Wall Insulation**

18. It is also proposed to use the dynamic purchasing system for appointing a contractor to install loft and cavity wall insulation. A tendering exercise will be run for a three year programme of works which will be subject to approval of the budget for each financial year. The estimated value of work is £500,000 per year including NPS Norwich fees for directly managing the contractors. This reduces the cost of delivering the works as additional managing agents

and fees are not required. The fee element will not exceed 10% of the value of the works. Over the three year period the contract value is likely to be £1.35m.

19. Cabinet are requested to delegate authority to the director of neighbourhoods in consultation with the deputy leader and portfolio holder for social housing to award the contract once the tender has been evaluated.

## 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:

Committee date:

Director / Head of service

Report subject:

Date assessed:

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

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



Recommendations from impact assessment
Positive
Negative
Neutral
Issues



**Report to** Cabinet  
06 February 2019  
**Report of** Director of neighbourhoods  
**Subject** Procurement of the housing communal area mechanical  
and electrical repairs and maintenance contract

**Item**

10

## KEY DECISION

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### Purpose

To advise cabinet of the procurement process for the provision of a new contract to deliver a responsive repairs and maintenance contract for mechanical and electrical services located within the council's housing asset communal areas.

### Recommendation

To delegate approval to the director of neighbourhoods in consultation with the deputy leader and portfolio holder for social housing to award the contract for housing communal area mechanical and electrical repairs and maintenance contract.

### Corporate and service priorities

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

### Financial implications

The financial consequence of this report is the award of a contract at an estimated cost of £3,900,000 over a six-year period. Expenditure for 2019-20 is included within the Housing Revenue Account (HRA) budget for the financial year commencing 2019/20 which is subject to approval by council in February 2019.

**Ward/s:** Multiple Wards

**Cabinet member:** Councillor Harris - deputy leader and social housing

### Contact officers

Lee Robson, head of neighbourhood housing 01603 212939

Carol Marney, interim operations director NPS Norwich 01603 227904

### Background documents

None

# Report

## Background

1. The council has a duty as landlord to service and maintain communal systems to ensure safety. This contract includes the programmed maintenance and responsive repair of communal electrical and mechanical systems such as landlord's lighting, community alarm systems, emergency lighting systems, fire alarm systems, industrial ventilation units, automatic ventilation units, lightning conductors, dry riser installations and fire points, access control systems. It also includes the upgrading of landlords lighting installations. The benefit to tenants is that they are able to live in safe buildings with good early warning systems and well maintained essential equipment.
2. The council's current contract for housing communal area electrical and mechanical maintenance and repairs is due to finish on 1st April 2019. On 5th July a procurement options recommendation was approved to commence a tender process with a view to awarding a new six-year term contract for this work with the option to end the contract after three years should it be required. The contract was tendered in January 2019 with tender returns anticipated in early February 2019. However it is unlikely that the evaluation process will have concluded before this cabinet meeting.
3. To enable the works to proceed without undue delay and allow an adequate mobilisation period before the proposed contract start date of 1st April 2019, it is proposed that the Director of neighbourhoods be given delegated authority to award the contract in consultation with the portfolio holder.

## Procurement Process

4. An open tendering process has been selected for the procurement of this service provision. Tender documents have been produced and advertised on the council's e-tendering portal and contracts finder.
5. Evaluation of the interested suppliers will be carried out to determine the most economically advantageous return. Suppliers were asked to submit details of their company in terms of finance, contractual matters, technical and professional ability, insurances, quality assurance, environmental standards, equality and diversity policies, references and previous experience and these are to be evaluated to establish if the suppliers meet council requirements to deliver the service.

## Tender evaluation

6. The supplier selection process requires suppliers to complete a questionnaire. The responses given will be evaluated against pre-determined criteria. This quality assessment carries a maximum of 40% of the marks. The lowest price will be allocated 60% of the marks and marks will be deducted, pro-rata, with each increasing tender price. Suppliers need to prove their capability of offering these works by means of specific quality questions and a number of "must have" requirements in terms of certifications and company accreditations.

7. The supplier with the highest cumulative score is deemed the best value submission. The results will be reported to the Director of neighbourhoods and the Portfolio holder for social housing to consider the award.

## **Finance**

8. The HRA budget makes provision for electrical and mechanical work included within this contract and it is expected that the cost of this contract will be within existing forecasts.
9. The works are subject to leaseholder consultation.

## 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

<b>Committee:</b>	Cabinet
<b>Committee date:</b>	6 February 2019
<b>Director / Head of service</b>	Lee Robson
<b>Report subject:</b>	Procurement of the Housing Communal Area Mechanical and Electrical Repairs and Maintenance Contract
<b>Date assessed:</b>	9 January 2019

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Open tendering will ensure that best value is achieved.
Other departments and services e.g. office facilities, customer contact	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Customer contact will continue to interface between tenants and contractor as current arrangements.
ICT services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	ICT will need to set up IT interfaces as presently utilised by incumbent contractor.
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Good system maintenance is essential to provide safe systems for users of housing asset communal areas.

	Impact			
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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



	Impact			
Risk management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	There is a low risk that the appointed supplier could fail during the life of the contract. There is little risk to the council as it is not investing in the supplier. The risk is one of service continuity rather than financial which is further mitigated by the fact that the contract is planned in nature.

Recommendations from impact assessment	
<b>Positive</b>	
The works will ensure ongoing maintenance and repair of essential communal area electrical and mechanical systems.	
<b>Negative</b>	
<b>Neutral</b>	
<b>Issues</b>	



**Report to** Cabinet  
06 February 2019  
**Report of** Director of neighbourhoods  
**Subject** Procurement of a housing structural repairs contract

**Item**

11

## KEY DECISION

---

### Purpose

To advise cabinet of the procurement process for two housing structural repairs contracts and to seek approval to award the contracts.

### Recommendation

To award two contracts for structural repairs at Godric Place (Phase 3) and Heartsease (Omnia blocks) to JB Specialist Refurbishments 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 is the award of two contracts for structural repairs and improvements with a tendered costs of £520,449.21 for Godric Place and £391,358.36 for Heartsease. These amounts are included within the Housing Revenue Account financial budget for the financial year 2019/20 which are subject to approval by council in February 2019.

**Ward/s:** Thorpe Hamlet and Crome

**Cabinet member:** Councillor Harris - deputy Leader and social housing

### Contact officers

Lee Robson, Head of Neighbourhood Housing 01603 212939

Carol Marney, Interim Operational Director NPS Norwich 01603 227904

### Background documents

None

## **Introduction**

1. The council has a programme of structural repairs and improvements 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. A total of 45 flats will benefit from the repairs, situated in Godric Place and 36 flats will benefit from the repairs, situated at Sale and Woodside Road.
2. The scope of the contracts includes repairs to concrete communal walkways, deck membrane works, replacement stairs with galvanised steel, structural steel strengthening works, re-roofing of communal flat roof areas and brickwork repairs. The staircases are made of reinforced concrete and timber, both of which have deteriorated. The deck membranes protect the concrete walkways between flats from water ingress. This membrane is failing, causing rusting of the steel reinforcement and subsequent structural damage.
3. These works will extend the life expectancy of the structural integrity of the communal walkways and staircases by carrying out specialist concrete repairs and installing full anti-carbonation management systems that protects the reinforcement steel within the concrete from further corrosion. Specialist systems come with warranties for materials and workmanship (10 years for concrete repairs and 15 years for the waterproof anti-slip membrane systems).

## **Procurement Process**

4. The opportunities were advertised on the council's e-procurement portal and Contracts Finder on 16th and 31<sup>st</sup> October 2018.
5. 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 evaluated to ensure that suppliers met the Council's basic requirements.
6. At the same time, suppliers were asked to submit 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.

## Tender evaluation

7. Tenders were received from the following contractors for each of the following locations:

Contractor	Godric Place	Heartsease
AD Construction Ltd	✓	
Bawburgh Installations Ltd	✓	✓
ETEC Ltd	✓	✓
JB Specialist Refurbishments Ltd	✓	✓
UK Gunitite Ltd	✓	✓

8. 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 40% of the marks. The lowest price was allocated 60% of the marks and the marks were deducted, pro-rata, with each increasing tender price.
9. The supplier with the highest cumulative score was deemed the best value submission. The results are shown below.

### Godric Place

Price	Price score	Quality score	Total score
£520,449.21	60	40	100
£617,020.63	48.78	40	88.78
£639,685.77	46.16	40	86.16
£703,997.18	38.74	36.67	75.41
£875,966.22	18.89	40	58.89

10. For works at Godric place, the tender submitted by JB Specialist Refurbishments Ltd received the highest score and therefore represents the best value for money.

### Heartsease

Price	Price score	Quality score	Total score
£391,358.36	60	40	100
£427,968.32	54.39	40	94.39
£462,355.85	49.12	40	89.12
£487,860.21	45.21	40	85.21

11. For works at Heartsease, the tender submitted by JB Specialist Refurbishments Ltd received the highest score and therefore represents the best value for money.
12. Both contracts are subject to leaseholder consultation.

## Integrated impact assessment



**NORWICH**  
City Council

### Report author to complete

<b>Committee:</b>	Cabinet
<b>Committee date:</b>	6 February 2019
<b>Director / Head of service</b>	Lee Robson
<b>Report subject:</b>	Procurement of a housing structural repairs contract
<b>Date assessed:</b>	14 December 2018
<b>Description:</b>	Structural repairs to flats at Godric Place and Heartsease

	Impact			
Economic (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Finance (value for money)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Open tendering ensures that best value is achieved.
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"/>	



	Impact			
Equality and diversity (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The works will extend the life expectancy of the properties
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

	Impact			
<b>Risk management</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	There is a low risk that the appointed supplier could fail during the life of the contract. There is little risk to the council, as it is not investing in the supplier. The risk is one of service continuity rather than financial which is further mitigated by the fact that the contract is planned in nature.

Recommendations from impact assessment	
<b>Positive</b>	
The works on both projects will extend the serviceable life of the structures, reduce on-going maintenance costs, address inherent structural issues, bring the communal areas and access stairways up to current Building Regulation standards and generally enhance the appearance of the sites as a whole.	
<b>Negative</b>	
<b>Neutral</b>	
<b>Issues</b>	

**Report to** Cabinet  
06 February 2019  
**Report of** Director of business services  
**Subject** The award of a contract for insurance

**Item**

12

## KEY DECISION

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### Purpose

To seek approval to delegate authority to award a contract for insurance.

### Recommendation

To delegate approval for the director of business services in consultation with the cabinet member for resources to award the contract for insurance for the three year period 1 April 2019 to 31 March 2022 together with an optional two, twelve month extensions to cover the period 1 April 2022 to 31 March 2024.

### Corporate and service priorities

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

### Financial implications

The cost of this contract over a 5 year agreement for the provision of insurance is estimated at £3.8m. Contract price certainty is not available due to the likely changes in council's asset values, shape and size of the council and insurance market.

**Ward/s:** All Wards

**Cabinet member:** Councillor Kendrick - Resources

### Contact officers

Tracy Woods - business relationship and procurement manager 01603 212140

Anton Bull Director of business services 01603 212326

### Background documents

None

# Report

## Introduction

1. Norwich City Council requires insurance to mitigate potential losses and reduce its financial risk exposure.
2. The councils current insurance policies, as detailed in the table below, expire on 31 March 2019:-

Housing  
Industrial/Commercial  
General Buildings  
Castle  
Housing Shared Ownership  
Works in progress  
Business Interruption/Gross Revenue  
Terrorism  
Money  
All Risks  
Computer  
Engineering  
Casualty (Public liability, Employers liability and Officials liability)  
Motor  
Fidelity Guarantee/Crime  
Personal Accident & Travel

3. The insurance service is undertaken by LGSS under a partnering and delegation agreement.

## Procurement process

4. LGSS shall undertake the procurement process on behalf of Norwich City Council.
5. To ensure an open, fair and transparent procurement process, adhering to the Public Contract Regulations 2015 an OJEU tender is proposed. This will allow all suppliers in the market place to bid, as compared to procuring via a framework.
6. Use of a framework could incur the council a commission fee for example use of the Crown Commercial Services framework would incur a fee of 0.75% of the insurance premium costs on top of broker fees and commission
7. The existing contract was for five years as this delivered financial benefits at last tender compared to a more traditional 3 year programme with options to extend. However it is proposed that the new contract will be advertised for three years with an option to extend for a further two years, on a 12 month basis; however consideration will be given to alternative options if financial advantages are available.

8. All bidders are required to reach appropriate financial security standards to transact insurance business in the UK.
9. Evaluation criteria shall be a mix of quality and price, depending on nature of insurance being evaluated.
10. The insurance policy is the formal contract in this instance no other contract documents will be required.
11. The current timetable of Cabinet meetings and the procurement timetable doesn't allow a report to Cabinet identifying the winning supplier. The decision to award will be published as a Key Decision and therefore members will have the opportunity to review the decision in the usual way.

## Integrated impact assessment



**NORWICH**  
City Council

### Report author to complete

<b>Committee:</b>	Cabinet
<b>Committee date:</b>	6 February 2019
<b>Director / Head of service</b>	Director of business services
<b>Report subject:</b>	The award of a contract for insurance
<b>Date assessed:</b>	7 January 2019

	Impact			
<b>Economic</b> (please add an 'x' as appropriate)	<b>Neutral</b>	<b>Positive</b>	<b>Negative</b>	<b>Comments</b>
Finance (value for money)	<input type="checkbox"/>	<input checked="" 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"/>	
<b>Social</b> (please add an 'x' as appropriate)	<b>Neutral</b>	<b>Positive</b>	<b>Negative</b>	<b>Comments</b>
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 (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Relations between groups (cohesion)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Eliminating discrimination & harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	



Recommendations from impact assessment
<b>Positive</b>
Significantly contributes to the councils risk management
<b>Negative</b>
<b>Neutral</b>
<b>Issues</b>



**Report to** Cabinet  
06 February 2019  
**Report of** Director of business services  
**Subject** Risk Management Report

**Item**

13

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**Purpose**

To provide an update on progress in relation to risk management.

**Recommendation**

To note the risk management report.

**Corporate and service priorities**

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

**Financial implications**

N/A

**Ward/s:** All Wards

**Cabinet member:** Councillor Kendrick - Resources

**Contact officers**

Anton Bull, director of business services	01603 212326
Duncan Wilkinson, chief internal auditor, LGSS	01908 252089
Neil Hunter, head of audit, LGSS	07563 398437

**Background documents**

None

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# **Risk Management Report**

## **Norwich City Council**

**Update to 23<sup>rd</sup> January 2019**

## 1 Risk Management Update

1. Norwich Council is currently in the process of refreshing Risk Management across the Council.
2. The purpose of this report is to provide an update on the current Risk Register, along with any outstanding actions, and to outline the progress made so far on the refresh of the Risk Management process and a revised Corporate Risk Register.
3. Under the current Risk Management Process, the Corporate Risk Register has a total of 16 Corporate Risks across the Council. All of these risks have controls and, where appropriate, action plans in place in order to mitigate the both the likelihood and the consequences of these Risks, a detailed overview of this Risk Register is attached at **Appendix A**.
4. Within this Risk Register, there are two outstanding actions across two different Risks:

Risk	Action	Date
A2. Delivery of the corporate plan and key supporting policies and strategies within the council's strategic framework	Determine a new blue print or operating model to guide how the council works in future which reflects available resources	31/12/17

Risk	Action	Date
A4. Safeguarding children, vulnerable adults and equalities duties	Guidance will be provided for contract managers to ensure satisfactory performance for safeguarding and equality duties of key contractors, following the annual review of contract compliance. Audit of safeguarding performance of contractors not available to complete this action for 2017. The annual audit is being undertaken autumn-winter 2017 to inform a review of guidance required for contract managers	30/04/18

5. To facilitate a full refresh of the Risk Management process and corporate risk register, the Internal Audit Risk Management Team facilitated a Risk Workshop on 14<sup>th</sup> November 2018 with the Corporate Leadership Team. From the workshop, a new set of 7 Corporate Risks has been recommended, and owners have been allocated to each of these Risks. The list of the proposed Corporate Risks and the respective owners is detailed at **Appendix B**.

6. Following the Workshop, the Internal Audit Risk Management Team has created a draft summary document which detailed proposed triggers, consequences, controls and actions for the Corporate Risk Owners to adapt/develop as appropriate.
7. The next stages of the Risk Management refresh is for the Internal Audit Risk Management Team to schedule meetings with all of the Corporate Risk Owners in order to agree the full details of each risk and to get the Risk Management system, GRACE, fully populated and operational.
8. Once the Risk Management team has met with the Corporate Owners to agree the Corporate Risks, then meetings will be arranged with owners of the Directorate level risks to update the Directorate level risks to ensure that they align with the new Corporate Risks and to cascade down the refresh of the risk Registers throughout the Organisation.
9. For further detail on the Risk Management process, and the roles and responsibilities of key officers, the Norwich City Council Risk Management Customer Charter is attached at **Appendix C**.

## Integrated impact assessment



**NORWICH**  
City Council

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

### Report author to complete

<b>Committee:</b>	Cabinet
<b>Committee date:</b>	06/02/2019
<b>Director / Head of service</b>	Neil Hunter, LGSS
<b>Report subject:</b>	Risk Management
<b>Date assessed:</b>	23/01/2019

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



	Impact			
Eliminating discrimination & harassment	X			
Advancing equality of opportunity	X			
Environmental (please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Transportation	X			
Natural and built environment	X			
Waste minimisation & resource use	X			
Pollution	X			
Sustainable procurement	X			
Energy and climate change	X			
(Please add an 'x' as appropriate)	Neutral	Positive	Negative	Comments
Risk management		X		

Recommendations from impact assessment
<b>Positive</b>
<b>Negative</b>
<b>Neutral</b>
<b>Issues</b>

Risk		A1. Customer Demand					
Likelihood	5						
	4						
	3		X				
	2						
	1						
		1	2	3	4	5	
		Consequence					
Risk Owners						Current Score	6
						Target Score	
						Previous Score	6
						Last Review	02/08/2018
						Next Review	30/11/2018
Triggers						Likelihood Factors (Vulnerability)	Potential Consequences
		1. Customer demand exceeds our capacity to deliver services as they are currently configured 2. Transfer of demand arising from service delivery changes or budget cuts by other public agencies 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 2. Complaints 3. Reputation damage 4. Increased homelessness risk to housing	

Controls	Adequacy	Critical Success	Action Plans	Responsibility	Target Date
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.	Good				
2. Data capture, consultation, survey and service planning.	Good				
3. Being robust about the role and responsibilities of Norwich City Council	Good				
4. Customer centre redesign	Good				
5. New 'self-serve' website including responsive forms, housing repairs diagnostics, customer portal, and full functionality on mobile devices	Good				
Risk Path:		Norwich City Council/Norwich City Council			
Risk Category:					
Linked Objective(s):		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			

<b>Risk</b>	<b>A2. Delivery of the corporate plan and key supporting policies and strategies within the council's strategic framework</b>
-------------	---

Likelihood	5					
	4					
	3				X	
	2					
	1					
		1	2	3	4	5
	Consequence					

<b>Risk Owners</b>		Current Score	12	Last Review	02/08/2018
		Target Score		Next Review	30/11/2018
		Previous Score	12		
<b>Triggers</b>		<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>	
<p>1. Corporate priorities are not on target to be delivered.</p> <p>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</p> <p>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.</p>				<p>1. Key priorities for the city are not delivered</p> <p>2. Adverse public opinion</p> <p>3. Projects / work completed to a lower quality</p> <p>4. Negative impact on outcomes for citizens</p> <p>5. Negative performance ratings for the council</p> <p>6. Continual over-stretching of capacity</p>	

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>	<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>
1. Regular review of corporate plan, medium term financial strategy and other key policies and strategies.	Good		Determine a new blue print or operating model to guide how the council works in future which reflects available resources.		31/12/2017
2. Effective performance and programme management	Good				
3. Corporate planning and service planning aligned with budget setting to ensure resources are in place to deliver priorities.	Good				
4. Effective preparation for changes in government policy.	Good				
5. Effective transformation programme to ensure savings are delivered.	Good				
6. 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 of the Council's Cabinet approved on 8th June 2016 the initiation of a process to:	Good				
a) Work with partners in the public, private, voluntary and community sectors to develop a new city vision					
b) Develop a revised corporate plan, priorities and performance measures that reflects the council's part in supporting that vision					
c) Determine a new blue print or operating model to guide how the council works in future which reflects available resources					
			<b>Risk Path:</b>	Norwich City Council/Norwich City Council	
			<b>Risk Category:</b>		
			<b>Linked Objective(s):</b>	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	

<b>Risk</b>	<b>A3. Relationship management with key service delivery partners and the management of contracts.</b>
-------------	--

Likelihood	5					
	4					
	3					
	2				X	
	1					
		1	2	3	4	5
Consequence						

<b>Risk Owners</b>		<b>Current Score</b>	8	<b>Last Review</b>	02/08/2018
		<b>Target Score</b>		<b>Next Review</b>	30/11/2018
		<b>Previous Score</b>	8		
<b>Triggers</b>		<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>	
1. Partnerships not managed effectively and key service outcomes not achieved. 2. Contracts not managed effectively, and key service outcomes not achieved..		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. The council also has a number of key contracts and partnerships which require strong, consistent procurement and client management.		1. The council doesn't get value for money 2. Benefits of partner and contract arrangements not realised 3. Constant negotiation around the service delivery agreement 4. Specification not adhered to 5. Services not provided at an acceptable level 6. Customer and staff complaints	

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>
1. Governance structure is in place to manage the individual partnership agreements (eg NPS Norwich Board, LGSS liaison group, NP Law Board, all major contracts have strategic and operational governance arrangements with officer and member representation.	Good	
2. In response to the council operating model training requirements have been reviewed and staffing structures refreshed to reflect this change.	Good	
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..	Good	
4. Internal audit has reviewed 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.	Good	
5. Regular reviews of joint ventures.	Good	

<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>

<b>Risk Path:</b>	Norwich City Council/Norwich City Council
<b>Risk Category:</b>	
<b>Linked Objective(s):</b>	5. To provide value for money services

<b>Risk</b>	<b>A4. Safeguarding children, vulnerable adults and equalities duties</b>
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Likelihood	5					
	4					
	3					
	2				X	
	1					
		1	2	3	4	5
Consequence						

<b>Risk Path:</b>	Norwich City Council/Norwich City Council
<b>Risk Category:</b>	
<b>Linked Objective(s):</b>	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

<b>Risk Owners</b>		<b>Current Score</b>	8	<b>Last Review</b>	02/08/2018
		<b>Target Score</b>		<b>Next Review</b>	30/11/2018
		<b>Previous Score</b>	8		
Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
1. Safeguarding and equalities duties and responsibilities not embedded throughout the council and its contractors/ commissioned services/ partners. 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. 3. Impact of cuts on care services and benefit funding. 4. Critical incident 5. Change in contractor/ commissioned service/partner 6. Reduced service provision 7. Not being able to attract staff with diverse abilities and backgrounds 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 2. Individuals from a community of identity dealt with inappropriately and at risk of exclusion 3. Risk of judicial review on accessibility of services 4. Risk of damage to reputation if an employee discrimination claim is made based on equalities legislation 5. NCC's reliance on systems at Norfolk and impact on Norwich City Council if these are inadequate	

<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>
Guidance will be provided for contract managers to ensure satisfactory performance for safeguarding and equality duties of key contractors, following the annual review of contract compliance. Audit of safeguarding performance of contractors not available to complete this action for 2017. The annual audit is being undertaken autumn-winter 2017 to inform a review of guidance required for contract managers"		30/04/2018

<b>Risk</b>	<b>A4. Safeguarding children, vulnerable adults and equalities duties</b>
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<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>
01. Safeguarding policy and procedures in place and reviewed annually through safeguarding group.	Good	
02. Safeguarding duties included in new contracts to ensure duties are embedded with new contractors. Where appropriate, joint training/ awareness sessions are held.	Good	
03. Equalities duties overseen by BMG	Good	
04. 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	Good	
05. Equality training undertaken for all staff and managers	Good	
06. Mental health training provided for employees	Good	
07. Safeguarding training provided to all staff.	Good	
08. Safeguarding guidance provided to all councillors	Good	
09. External reviews of the council's approach through the annual self-assessment against Sec.11 of Children Act 2014, then challenge sessions with chair of Norfolk Safeguarding Children Board (NSCB)	Good	
10. NCC plays full part in Norfolk Public Protection Forum	Good	
11. NCC chief executive chairs Community Safety Partnership linking to domestic abuse across the county	Good	
12. Constantly monitoring outcomes from serious case reviews (children adult and domestic abuse) and ensure any recommendations are actioned.	Good	

<b>Risk</b>	<b>A6. Delivery of Joint Core Strategy (JCS)</b>
-------------	--

Likelihood	5					
	4					
	3			X		
	2					
	1					
		1	2	3	4	5
Consequence						

Risk Owners		Current Score	9	Last Review	02/08/2018
		Target Score		Next Review	30/11/2018
		Previous Score	9		
Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
<p>Delivery of the JCS may be jeopardised by:</p> <p>1. Markets failing to deliver on preferred development sites identified for housing</p> <p>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).</p> <p>3. Failure to deliver the infrastructure required to support development</p> <p>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.</p> <p>5. Partners across the Greater Norwich area not working effectively together because of conflicting priorities</p>				<p>1. Reputation damage</p> <p>2. Significant likelihood that the overall development strategy for the Greater Norwich area will not be delivered</p>	

Controls	Adequacy	Critical Success
4. Greater Norwich Growth Board responsible for ensuring funding is available for investment in infrastructure to support growth.	Good	
1. Ensuring that strategies being prepared with GNGB colleagues are as robust as possible and firmly grounded in reliable evidence.	Good	
2. Inter-authority working based on consensus decision-making ensures all parties are in agreement with the agreed policy framework.	Good	
3. All policy work is supported by comprehensive and up-to-date evidence in accordance with government guidelines.	Good	

Action Plans	Responsibility	Target Date

<b>Risk Path:</b>	Norwich City Council/Norwich City Council
<b>Risk Category:</b>	
<b>Linked Objective(s):</b>	2. To make Norwich a prosperous and vibrant city,, 4. To make Norwich a healthy city with good housing,



<b>Risk</b>	<b>A8. Housing Investment Strategy</b>
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Likelihood	5				X/T	
	4					
	3					
	2					
	1					
		1	2	3	4	5
	Consequence					

<b>Risk Owners</b>		<b>Current Score</b>	20	Last Review	02/08/2018
		<b>Target Score</b>	20	Next Review	30/11/2018
		<b>Previous Score</b>	15		
<b>Triggers</b>		<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>	
1. Reduction in rental income arising from: <ul style="list-style-type: none"> <li>compulsory 1% reduction in social housing rent for next four years wef April 2016</li> <li>higher level of council house sales due to improved incentives</li> <li>increasing debt or other factors</li> </ul> 2. Impact of determination to fund RTB for Registered Providers 3. Significant increase in the cost of delivering improvement works 4. Failure to deliver by contractors 5. Changes to housing finance within the Housing and Planning Bill		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. Failure to deliver the Norwich Standard within the expected timescale 2. Lack of resources to be able to maintain the Norwich Standard. 3. Lack of resources to support a new build programme. 4. Requirement to sell off stock to fund determination 5. Reduced tenant satisfaction 6. Need to re-programme the housing investment plan	

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>
4. Effective contract management	Good	
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	Good	
2. The 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.	Good	
3. Regular review of key projects.	Good	
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.	Good	

<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>

<b>Risk Path:</b>	Norwich City Council/Norwich City Council
<b>Risk Category:</b>	Buildings Community New Government Policy and Expectations Budgets Repair & Regeneration
<b>Linked Objective(s):</b>	4. To make Norwich a healthy city with good housing

<b>Risk</b>	<b>B1. Public sector funding</b>
-------------	----------------------------------

Likelihood	5				X	
	4					
	3					
	2					
	1					
		1	2	3	4	5
Consequence						

Risk Owners		Current Score	20	Last Review	02/08/2018
		Target Score		Next Review	30/11/2018
		Previous Score	20		
Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
1. Reduction in rental income arising from: • compulsory 1% reduction in social housing rent for next four years wef April 2016 • higher level of council house sales due to improved incentives • increasing debt or other factors 2. Impact of determination to fund RTB for Registered Providers 3. Significant increase in the cost of delivering improvement works 4. Failure to deliver by contractors 5. Changes to housing finance within the Housing and Planning Bill				1. Failure to deliver the Norwich Standard within the expected timescale 2. Lack of resources to be able to maintain the Norwich Standard. 3. Lack of resources to support a new build programme. 4. Requirement to sell off stock to fund determination 5. Reduced tenant satisfaction 6. Need to re-programme the housing investment plan	

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>
1. Comprehensive 5-year transformation programme based on minimum resource allocation and robust benefit realisation.	Good	
2. Medium Term Financial Strategy incl. reserves policy, financial reporting to BMG & cabinet, transformation projects regularly monitored, MTFS is regularly reviewed and updated.	Good	
3. Weekly review by CLT of government announcements to assess implications and response required.	Good	
4. Keep service design under review	Good	
5. Continual review of financial position by the council and major partners	Good	

<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>

<b>Risk Path:</b>	Norwich City Council/Norwich City Council
<b>Risk Category:</b>	
<b>Linked Objective(s):</b>	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

<b>Risk</b>	<b>B2. Income generation</b>
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Likelihood	5					
	4			X		
	3					
	2					
	1					
		1	2	3	4	5
Consequence						

Action Plans	Responsibility	Target Date

Risk Owners		Current Score	12	Last Review	02/08/2018
		Target Score		Next Review	30/11/2018
		Previous Score	12		
Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
1. Further economic decline. 2. Under-utilisation of assets 3. CIL (community infrastructure levy) income is below expectations. 4. Collapse in world markets leading to loss of income 5. Low economic growth or recession reduces income 6. Other triggers: a) Bethel St Police Station – market value payment b) Triennial pensions review. c) VAT partial exemption. d) Variable energy prices. e) Increasing voids due to market and economy factors. f) Loss of major tenant. g) GNGP board decision or cabinet decision on CIL investment arrangements. 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. The move to 100% Local Authority retention of business rates by 2020 will also transfer the risks entirely to the LAs i) Lack of experience in some services for generating income				1. Inability to raise capital receipts 2. Impact on balancing the budget – significant change and financial savings required. 3. Decline in income streams (eg rents from investment properties) – insufficient funds to maintain current service levels 4. Unable to make saving within the required timescales 5. Erosion of reserves 6. Major financial problems 7. Reputation damage 8. Govt intervention 9. Council loses critical mass in key areas 10. Service failures 11. Potential disproportionate impact on the poorest and most vulnerable members of society 12. Damage/costs across void portfolio 13. Essential infrastructure to deliver growth in the GNGP area is delayed.	

Risk Path:	Norwich City Council/Norwich City Council
Risk Category:	
Linked Objective(s):	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

<b>Risk</b>	<b>B2. Income generation</b>
-------------	------------------------------

Likelihood	5					
	4			X		
	3					
	2					
	1					
		1	2	3	4	5
Consequence						

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>
1. Comprehensive 5-year transformation programme based on minimum resource allocation and robust benefit realisation.	Good	
2. Medium Term Financial Strategy incl. reserves policy, financial reporting to BMG & cabinet, transformation projects regularly monitored, MTFS is regularly reviewed and updated.	Good	
3. HRA business plan kept under review.	Good	
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.	Good	
5. Clear strategy for investment	Good	
6. Commercial skills training provided to all Heads of Service	Good	
7. Element of CIL programme controlled by Norwich prioritised and caution taken to ensure spend not incurred until monies certain to be received.	Good	
8. Independent review of income generation opportunities completed Spring 2016 and options built in to the transformation programme	Good	

<b>Risk</b>	<b>B3. Level of reserves</b>
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Likelihood	5					
	4					
	3					
	2					
	1					
		1	2	3	4	5
	Consequence					

<b>Risk Owners</b>		<b>Current Score</b>	6	Last Review	24/02/2017
		<b>Target Score</b>		Next Review	31/03/2017
		<b>Previous Score</b>	6		
<b>Triggers</b>		<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>	
1. Government policy. 2. Economic climate 3. Reserves fall below acceptable levels		The council has a legal duty to ensure it has a prudent level of reserves to conduct its business		1. Inadequate levels of reserves publicly reported by external auditors 2. Government intervention 3. Impact on reputation of the council	

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>
1. Medium term financial strategy (MTFS).	Good	
2. Development of the 5-year corporate plan and transformation programme in conjunction with the MTFS.	Good	
3. HRA Business Plan.	Good	
4. Planning and delivery of transformation (savings and income generation) programme	Good	
5. Contract and business relationship management to identify and respond to business delivery risks.	Good	
6. Budget development, in-year monitoring and control	Good	

<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>

<b>Risk Path:</b>	Norwich City Council/Norwich City Council
<b>Risk Category:</b>	
<b>Linked Objective(s):</b>	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

<b>Risk</b>	<b>B4. Capital developments</b>
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Likelihood	5					
	4					
	3				X	
	2					
	1					
		1	2	3	4	5
Consequence						

<b>Risk Owners</b>		<b>Current Score</b>	12	<b>Last Review</b>	24/02/2017
		<b>Target Score</b>		<b>Next Review</b>	31/03/2017
		<b>Previous Score</b>	12		
<b>Triggers</b>		<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>	
1. Housing / other developments may take longer to proceed than planned.				1. Delay in income streams may put pressure on revenue budgets.	
2. Housing / other developments may cost more than planned.				2. Reduced net revenue contribution from developments.	
3. Interest rates on debt may rise beyond projections.				3. May put pressure on revenue budgets / reserves to service debts	
4. Developments may not generate planned levels of income.				4. Pressure on capital budgets	
5. Asset sales may not be sufficient to fund major repairs					

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>
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.	Good	
2. HRA Business Plan.	Good	
3. Capital Management Group set up and reporting quarterly to CLT	Good	
4. Business cases for individual investments and continual review of investments	Good	
5. Balanced risk profile	Good	
6. Business plan for new housing development company approved by cabinet	Good	
7. Housing company's own risk register	Good	
8. Continuity policy to only commit spend once resources are available	Good	

<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>

<b>Risk Path:</b>	Norwich City Council/Norwich City Council
<b>Risk Category:</b>	
<b>Linked Objective(s):</b>	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

<b>Risk</b>	<b>C1. Emergency planning and business continuity</b>
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Likelihood	5					
	4			X		
	3					
	2					
	1					
		1	2	3	4	5
	Consequence					

Risk Owners		Current Score	12	Last Review	02/08/2018
		Target Score		Next Review	30/11/2018
		Previous Score	12		
Triggers		Likelihood Factors (Vulnerability)		Potential Consequences	
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> 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.		"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		1. Service disruption and inability to deliver services 2. Disruption of the delivery of goods and services to the council 3. Increased requests for council resources and services 4. Health and safety impact on staff and vulnerable residents 5. Damage to council property and impact on tenants 6. Reputation damage 7. Years to recover	

<b>Risk Path:</b>	Norwich City Council/Norwich City Council
<b>Risk Category:</b>	
<b>Linked Objective(s):</b>	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

<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>

<b>Risk</b>	<b>C1. Emergency planning and business continuity</b>
-------------	---

Likelihood	5					
	4			X		
	3					
	2					
	1					
		1	2	3	4	5
Consequence						

Controls	Adequacy	Critical Success
01. The council is a member of the Norfolk Resilience Forum, which has produced a Norfolk Community Risk Register	Good	
02. 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.	Good	
03. 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.	Good	
04. Flu pandemic plan.	Good	
05. 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.	Good	
06. A new business continuity management policy and framework was approved by cabinet 25 June 2014.	Good	
07. A business impact analysis for each service is signed off by the head of service and executive head of service.	Good	
08. Business continuity steering group chaired by the D-BS.	Good	
09. Overall business continuity plan reviewed by CLT.	Good	
10. Periodic business continuity exercises, and lessons learnt communicated through BMG.	Good	



<b>Risk</b>	<b>C2. ICT Strategy</b>
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Likelihood	5					
	4					
	3					
	2				X	
	1					
		1	2	3	4	5
Consequence						

<b>Risk Owners</b>		<b>Current Score</b>	8	Last Review	02/08/2018
		<b>Target Score</b>		Next Review	30/11/2018
		<b>Previous Score</b>	8		
<b>Triggers</b>		<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>	
1. ICT strategy fails to support the organisation moving forward and the blueprint for a new council		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		1. Incoherent approach to ICT systems 2. Systems not customer friendly 3. Systems are not integrated with one another 4. Drain on resources as staff work around the systems 5. Lack of accuracy in key data 6. Data are unreliable 7. Key information not trusted 8. Hinders management and service improvements 9. Failure to deliver council priorities	

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>
1. NCC has developed an ICT strategic direction document detailing the key areas where ICT is required to support business objectives and change	Good	
2. Management of the LGSS relationship will seek to ensure that NCC requirements are delivered	Good	
3. The council has an ICT Programme Board, attended by LGSS IT.	Good	

<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>

<b>Risk Path:</b>	Norwich City Council/Norwich City Council
<b>Risk Category:</b>	
<b>Linked Objective(s):</b>	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

<b>Risk</b>	<b>C3. Information security</b>
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Likelihood	5					
	4					
	3				X	
	2					
	1					
		1	2	3	4	5
	Consequence					

<b>Risk Owners</b>		<b>Current Score</b>	12	Last Review	03/08/2018
		<b>Target Score</b>		Next Review	30/11/2018
		<b>Previous Score</b>	12		
<b>Triggers</b>		<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>	
1. Sensitive and/or personal data is sent to the incorrect recipient or not kept securely, or is lost 2. Data is emailed to insecure email addresses. 3. Lap top or memory stick containing data is lost or stolen. 4. Information is sent to incorrect addresses. 5. External malicious attack (hacking) 6. Hard copy data is lost or stolen"				1. Fine up to £0.5 million 2. Potential harm to data subjects through loss, release or corruption of personal data 3. Reputational risk	

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>
01. Regularly remind all managers, employees and members of their responsibilities for the use of and security of data.	Good	
02. Prohibit using mobile devices to store or process sensitive or personal data unless device is encrypted.	Good	
03. Encrypt lap tops and data sticks when they are used to store or process sensitive or personal data.	Good	
04. Proper disposal of confidential waste.	Good	
05. Updated IT User Security policy issued April 2015 to all staff and other people who access the councils systems (e.g. partners, contractors etc.)	Good	
06. The council has achieved public sector network (PSN) & payment card industry (PCI) compliance	Good	
07. The council has an ICT programme board, attended by LGSS IT.	Good	
08. Corporate information assurance group	Good	
09. Annual security report from LGSS IT	Good	
10. Information risk policy and risk assessment	Good	
11. Business continuity and disaster recovery arrangements	Good	
12. Incident response plan and lessons learned	Good	
13. Horizon scanning for potential legislative change, such as the EU General Data Protection Regulation (GDPR)	Good	

<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>

<b>Risk Path:</b>	Norwich City Council/Norwich City Council
<b>Risk Category:</b>	
<b>Linked Objective(s):</b>	5. To provide value for money services

<b>Risk</b>	<b>C4. Failure of major contractor or legal challenge following an unsuccessful tender bid</b>
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Likelihood	5					
	4					
	3			X		
	2					
	1					
		1	2	3	4	5
Consequence						

<b>Risk Owners</b>	<b>Current Score</b>	9	<b>Last Review</b>	03/08/2018
	<b>Target Score</b>		<b>Next Review</b>	30/11/2018
	<b>Previous Score</b>	9		
<b>Triggers</b>		<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>
1. The council has a number of key contractors who may be vulnerable to market and economy factors. 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 3. Key contractor goes into administration or an injunction is issued preventing the award of a new contract				1. Customer and staff complaints 2. Services not delivered 3. Contingency plans have to be invoked 4. Cost and time to retender contract 5. Cost and time to defend legal challenge 6. Additional unforeseen costs impact delivery of balanced outturn and reserve levels

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>
1. Monitor major contractors for warning signs and make any necessary contingency plans. Recently put into practice and contingency plans tested.	Good	
2. Ensure a robust procurement process is followed in accordance with the appropriate procurement regulations, NCC processes and best practice.	Good	
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.	Good	
4. Contingency budget and allowance for failures within the calculation of prudent minimum balance of reserves	Good	
5. More use of shared services reduces size and scope of contracts with private sector providers (eg ICT)	Good	
6. Increased use of framework contracts increases resilience against contractor failure.	Good	

<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>
<b>Risk Path:</b>	Norwich City Council/Norwich City Council	
<b>Risk Category:</b>		
<b>Linked Objective(s):</b>	5. To provide value for money services	

<b>Risk</b>	<b>C5. Fraud and corruption</b>
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Likelihood	5					
	4					
	3					
	2			X		
	1					
		1	2	3	4	5
	Consequence					

<b>Risk Owners</b>		<b>Current Score</b>	6	<b>Last Review</b>	03/08/2018
		<b>Target Score</b>		<b>Next Review</b>	30/11/2018
		<b>Previous Score</b>	6		
<b>Triggers</b>		<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>	
1. Poor internal controls 2. Lack of guidance or policies 3. Failure in internal control. 4. Discovery of fraudulent acts. 5. Allegations received. 6. Member of staff or councillor breaks the law.				1. Loss of income or assets 2. Negative public opinion 3. Effect on use of resources 4. Increased costs of external audit 5. Cost of investigation and rectifying weaknesses 6. Prison	

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>
01. Internal audit	Good	
02. Anti-fraud and corruption policy	Good	
03. Payment Card Industry security assessment to protect card payments	Good	
04. National Fraud Initiative	Good	
05. Whistleblowing policy	Good	
06. Review and update as necessary policies and procedures.	Good	
07. Assess risk of bribery, train staff and monitor and review procedures.	Good	
08. Robust procurement procedures, e-tendering portal and governance by the procurement team	Good	
09. Delegation procedures	Good	
10. Money laundering policy	Good	

<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>

<b>Risk Path:</b>	Norwich City Council/Norwich City Council
<b>Risk Category:</b>	
<b>Linked Objective(s):</b>	5. To provide value for money services

<b>Risk</b>	<b>D1. Industrial action</b>
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Likelihood	5					
	4					
	3		X			
	2					
	1					
		1	2	3	4	5
Consequence						

<b>Risk Owners</b>		<b>Current Score</b>	6	<b>Last Review</b>	03/08/2018
		<b>Target Score</b>		<b>Next Review</b>	30/11/2018
		<b>Previous Score</b>	6		
<b>Triggers</b>		<b>Likelihood Factors (Vulnerability)</b>		<b>Potential Consequences</b>	
1. Changes to pension regulations and pay restraint and changes to terms and conditions could lead to industrial action by employees 2. National negotiating framework - failure to agree. 3. Ballot of union members. 4. Implementation of changes to the LGPS. 5. Implementation of government interventions on pay				1. Loss of key services 2. Public safety 3. Loss of income 4. Reputation	

<b>Controls</b>	<b>Adequacy</b>	<b>Critical Success</b>
1. 2 stages – managing the threat of industrial action and responding to industrial action Identify and agree with UNISON exemptions from strike action	Good	
2. Identify and implement business continuity/contingency plans to maintain essential services and ensure statutory duties are met	Good	
3. CLT agree and implement strategy for response to strike action ie assessing the scale of the action, communications, response depending on nature of the action, wider industrial relations implications, deductions from pay etc	Good	
4. National and regional guidance	Good	
5. Statutory immunities – Trade Union Labour Relations (Consolidation) Act	Good	
6. Well embedded business continuity and industrial action plans	Good	

<b>Action Plans</b>	<b>Responsibility</b>	<b>Target Date</b>

<b>Risk Path:</b>	Norwich City Council/Norwich City Council
<b>Risk Category:</b>	
<b>Linked Objective(s):</b>	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

### New Corporate Risk Register, as agreed at Corporate Leadership Team 14 November 2018

	Risk	Responsible Officer
1	Failure to fulfil statutory or legislative responsibilities, including safeguarding.	Director of neighbourhoods (Bob Cronk)
2	Failure to deliver corporate plan objectives: <ul style="list-style-type: none"> <li>• Great neighbourhoods housing and local environments;</li> <li>• Inclusive economy</li> <li>• Live well</li> </ul>	Chief executive officer (Laura McGillivray)
3	Failure to deliver responsive financial planning	Chief finance officer (Karen Watling)
4	Failure to change at the pace required and adapt to change.	Head of strategy and transformation (Helen Chamberlain)
5	Failure to deliver services with/from partners.	Director of business services (Anton Bull)
6	Lack of adequate skills and capacity.	Head of HR and learning (Dawn Bradshaw)
7	Major risks/emergency planning.	Director of business services (Anton Bull)

Norwich City Council exists to help the people of the County to help themselves and to act as a safety net for the most vulnerable. The 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.

“A risk is an **uncertain** event which, should it occur will have an effect on the achievement of objectives.”

Risk Management is the identification, assessment and prioritisation of risks followed by:

- the coordinated and economical application of resources to minimise, monitor and control the probability or impact of unfortunate events / threats; AND
- to maximise the realisation of opportunities.

Dates for reporting and review of Corporate and Directorate Risk Registers to CLT:

Dates for reporting to NoCC Audit Committee:

## LGSS Risk Management Customer Charter

Good Risk Management helps an organisation understand the threats to and how opportunities can be exploited to achieve its objectives.

The LGSS Risk Service seeks to help the Council ensure its most significant risks are being proactively managed and agreed action is taken.

**LGSS Risk Management will:**

- Support and train NoCC staff to effectively use GRACE as the designated risk management tool and aide their understanding of risks and mitigations;
- Provide advice on the adequacy of controls in place to manage risks (control environment);
- Horizon scan for emerging risks;
- Support the full review of risks (through Management Teams) is undertaken on a quarterly basis at all levels of management to ensure:
  - All key risks are included
  - minor / non-relevant risks are closed
  - actions and controls are agreed
  - risk scores are accurate and relevant, e.g. to reflect completed actions
- Consider the risk action plans and their implementation as part of their challenge and highlight missed / overdue actions;
- Present a report to, and attend, CLT each quarter:
  - To summarise DMT risk information, and
  - support a review of Strategic risk by CLT
- Prepare Quarterly reports for the Audit Committee and Cabinet summarising the key Risk Register information;
- Undertake an annual review of the Risk Management Framework and Strategy including an annual report on Risk Management;
- Facilitate Risk Identification Workshops.

The Risk Team will not 'audit' the compliance with the control environment to ensure independence is maintained and the Risk service cannot own NoCC risks nor their controls / mitigations.

**NoCC CLT will:**

- Own and lead the corporate risk management process including providing for sufficient time annually to undertake a full review of Strategic Risks and Risk Management framework etc;
- Review Strategic risks on a quarterly basis providing for sufficient time to properly consider emerging risks etc;
- Review their significant directorate risks on a quarterly basis and escalate to Corporate level if necessary;
- Receive urgent risk reports as necessary;
- Ensure risk is given due consideration in all management processes.

**NoCC Chief Finance Officer will:**

Champion and take overall responsibility for seeking to ensure that effective risk management processes operate throughout the Council.

**NoCC Executive Heads and Heads of Service will:**

- Take personal ownership of those assigned Strategic Risk on behalf of CLT
- Review directorate risk registers on a quarterly basis through their Management Team;
- Ensure that risk is given due consideration in all management processes;
- Ensure that risks identified within their directorate are managed at an appropriate level, including escalation to corporate level where appropriate;
- Provide the Chief Executive and Leader with an assurance statement as to how risk is being managed as a contribution to the preparation of the Annual Governance Statement.