

AGENDA

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HAMBLETON DISTRICT COUNCIL

Report To: Scrutiny Committee
24 October 2019

From: Director of Finance and Commercial (s151 Officer)

Subject: **COUNCIL PERFORMANCE 19/20 (QUARTER 1)**

All Wards

1.0 PURPOSE AND BACKGROUND:

- 1.1 The revised Council Plan for 2019 - 2023 was approved by Council on 17 September 2019.
- 1.2 The Council Plan shows the Council's goals with measurable outcomes in the form of Council Key Performance Indicators (KPIs). The Council's approach to performance management is designed to ensure that priorities are effectively implemented, monitored and managed to achieve real improvements in the quality of life in the local community.
- 1.3 This report provides Scrutiny Committee with details on progress towards the Council's aims. Progress is reported on a cumulative year-to-date basis, with the actual results achieved during quarter 1 being provided which enables a comprehensive review.
- 1.4 The public has access to this information through these published reports.
- 1.5 The Council's Performance and Risks are also reported quarterly to Management Team.

2.0 LINK TO COUNCIL PRIORITIES:

- 2.1 An overview of performance against each Council priority is attached in Annex 'A'.
- 2.2 In summary, 96.1% or 25 KPIs performed within tolerance at quarter 1.
- 2.3 The KPI not meeting its target or performing within tolerance at quarter 1 is:
 - 2.3.1 Achieve 8 out of 10 success rate in defending appeals where major developments are refused planning permission

Target Q1– 80% Actual Q1 – 0%

In Q1 planning permission was refused on a site due to the low amount of affordable housing being offered on the proposed site. This decision went to appeal. During the course of the appeal new evidence was presented which demonstrated that the lower amount of affordable housing was acceptable. The Council accepted this position and the appeal was subsequently upheld.

3.0 CONCLUSIONS:

- 3.1 Performance against the revised Council Plan 2019-23 key priorities is being managed and action plans have been successfully developed to address areas of weaker performance to assist the Council to progress to meet its priorities.

4.0 RECOMMENDATION:

- 4.1 It is recommended that the Scrutiny Committee considers the progress made at Q1 against the Council Plan 2019 - 2023, as detailed in Annex 'A'.

LOUISE BRANFORD-WHITE
DIRECTOR OF FINANCE AND COMMERCIAL (S151 OFFICER)

Background papers: Departmental Service Plans

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Council Performance Quarter 1

1 April – 30 June 2019

This report provides information on performance towards the Council Business Plan Priorities for the first quarter of 2019/20, as reported to the Management Team on 7 August 2019.

Key Priorities:

- Driving Economic Vitality
- Enhancing Health & Wellbeing
- Caring for the Environment
- Providing a Special Place to Live

PRIORITY – Driving Economic Vitality

| Purpose: <ul style="list-style-type: none"> - Promote growth of local economy - Support economic growth through planning - Enable businesses to set up and grow - Provide business friendly services - Establish links with education - Maximise private sector investment in the district - Improve market town vitality and viability - Forging links with local businesses to support their ambitions | Outcome: <ul style="list-style-type: none"> - New business & commercial openings made available - Increased grant availability and opportunities for young people - Businesses stay, grow and relocate to the area - Support developers to achieve planning permission for new homes, businesses, industrial developments & infrastructure - Community Infrastructure Levy is implemented to assist economic development - Land is allocated to meet employment needs until 2035 through the new Local Plan | | | |
|---|--|------------------------------|------------------------------|--|
| Indicator | Target / Benchmark | Quarter 1 | YTD | Q1Actions / Comment |
| Facilitate 28 young people into local small businesses by April 2020 through apprenticeships and the graduate scheme | 28 | 2 apprentices 0 graduates | 2 Apprentices 0 Graduates | <p>This target is profiled to reflect the academic year.</p> <p>Profile Q1 = 2, Q2 = 10, Q3 = 8 Q4 = 8.</p> <p>In Q1, 4 applications received for Apprentice funding, 2 approved and 2 declined.</p> |
| Support £1m of new business investment in Hambleton during 2019/20 | £1m | £0 | £0 | This target is to be achieved by the end of the financial year. |
| Increase footfall across Hambleton's Market Towns by 5% during 2019/20 | 5% | 4,368,209 (7.3%) | 4,368,209 (7.3%) | <p>Footfall data is monitored closely and evidence suggests that footfall remains constant across all five market towns.</p> <p>Following the installation of 2 additional footfall counters in Stokesley, a total of 23 footfall counters have now been installed throughout the 5 market towns. The use of new technology which provides more robust data is being explored.</p> <p>In Q1 figures show a 7.3% increase in footfall compared to data for Q1 2018/19 when footfall was 4,068,712. This may be influenced by the fact we have 2 new counters installed.</p> |

| Indicator | Target / Benchmark | Quarter 1 | YTD | Q1 Actions / Comment |
|---|--------------------|-------------------------|-------------------------|---|
| Achieve a level of Business Rate collection of 98% during 2019/20 | 98% | 39.14% | 39.14% | <p>Performance is above target.</p> <p>The collection rate at Q1 is an increase on the collection rate at Q1 for 2018-19 which was at 35.66%</p> <p>In monetary value the Council has collected £999,483 more than in 2018-19.</p> <p>Changes in the amount due to be collected can vary due to changes in the tax base and levels of discounts awarded</p> |
| Achieve a level of Council Tax collection of 98% during 2019/20 | 98% | 36.33% | 36.33% | <p>Performance is above target.</p> <p>The collection rate at Q1 is an increase on the collection rate at Q1 for 2018-19 which was at 30.41%.</p> <p>In monetary value the Council has collected £5,139,399 more than in 2018-19.</p> <p>Changes in the amount due to be collected can vary due to changes in the tax base and levels of discounts.</p> |
| Increase the number of major planning applications determined within 13 weeks, or as agreed with the applicant, to 80%. | 80% | 100% 9 out of 9 | 100% 9 out of 9 | <p>Focused effort by staff to keep applicants and agents appraised of progress has enabled agreement to be reached on all the proposals during Q1.</p> |
| Increase the number of minor planning applications determined within 8 weeks, or as agreed with the applicant, to 85% | 85% | 82.5% 123 out of 149 | 82.5% 123 out of 149 | <p>The volume of work and staff turnover have impacted upon performance.</p> |
| Achieve 8 out of 10 success rate in defending appeals where major developments are refused planning permission | 80% | 0% (0 out of 1) | 0% (0 out of 1) | <p>In Q1 Planning permission was refused on a site due to the amount of affordable housing offered on the proposed site. This decision went to appeal. During the course of the appeal new evidence was presented which demonstrated that the lower amount of affordable housing was acceptable. The Council accepted this position and the appeal was subsequently upheld.</p> |

| Other activity and items of interest for this Priority during Quarter 1 | | |
|---|--------------------------------------|---|
| Business & Economy | Vibrant Market Town | <ul style="list-style-type: none"> • Work has started with Easingwold Town Council and the Wold Class Business Network to improve signage from the A19 into Easingwold. • Work is underway in partnership with the Northallerton BID to publish a Design Guide for Northallerton which it is anticipated will be adopted by the Council in December 2019 as a supplementary planning document. • Work is progressing to rebrand and make exterior improvements to both Easingwold and Northallerton Tourist Information Centres to improve their visibility and footfall. This is of particular significance in Northallerton as the tourist information centre will be highly engaged in welcoming Union Cycliste Internationale (UCI) visitors. • A Vibrant Market Town –sponsored Town Map of Stokesley has been published in partnership with Stokesley Town Council to promote Stokesley as a tourist destination. • The Vibrant Market Town team collaborated on the recent creation of the ‘Stokesley Business Welcome’ pack which provides easily accessible planning advice and signposting for local businesses. • The Vibrant Market Town team has engaged with Code Nation a Software Developer training academy. Talks are positive and it is hoped that they will take a residence in Northallerton’s C4DI tech hub. • As part of the ‘Love Your Local Markets’ campaign held between 17 – 31 May 2019 the Vibrant Market Town team prepared a series of ‘trader profiles’ that will be shared on social media and in the local press to provide an insight into the life of market traders and their experiences of trading in Northallerton and Thirsk. • Building on last year’s successful marking of the markets another extensive marketing campaign is planned for 2019-2020 including door to door leaflet delivery and distribution of promotion leaflets to visitor destinations. • The Vibrant Market Town team continues to support major sporting events, festivals and seasonal events to ensure that local businesses benefit. The Vibrant Market Town team supported the co-ordination of activities to celebrate the arrival of the Tour de Yorkshire in Bedale and is working closely with the Northallerton Bid and Northallerton Town Council to ensure local businesses benefit from the Union Cycliste Internationale (UCI) Cycling World Championship in September 2019. • The Vibrant Market Town Team is exploring other uses of empty retail premises. These solutions include ‘pop up’ shops or ‘incubator centres’ for new traders which are being piloted successfully in other market towns and which reflect a new philosophy about the future of our High Streets described in the Grimsey Review 2. • The project is looking to develop a closer relationship with other partner organisations including the Local Enterprise Partnership and Welcome to Yorkshire to progress a number of new projects currently in development to address the larger challenges facing market towns such as the digital skills gap and an aging population. |
| | Business Support | <ul style="list-style-type: none"> • Stokesley Wi-Fi now has 5 companies live on the WI-FI • Federation of Small Business – 20 new members joined in this quarter. • Support 6 staff being made redundant from Police Head Quarters • Drafting a transport survey for Stokesley Industrial Estate |
| | Bedale Bridge & Cycle Way | <ul style="list-style-type: none"> • New contractor WSP appointed to review viable project options to be presented to the Council for direction in Quarter 2 2019/20 |
| | North Northallerton Development Area | <ul style="list-style-type: none"> • Work on the second phase of the Link road is well progressed, the new route to Brompton has been opened up from Stokesley Road and the diversions removed. Developers have begun to claim funds again and are providing information for Local Enterprise Partnership quarterly claim and monitoring reports. • Bridge delivery milestone of December 2018 has been missed requiring a contract variation for the Local Growth Funding from the Local Enterprise Partnership. This has been agreed by the Local Enterprise Partnership. Permission of the developers party to the step down agreement to progress the variation to the Local Enterprise Partnership funding agreement has been secured, just awaiting a programme for bridge delivery now to progress the variation. |
| | Sowerby Gateway | <ul style="list-style-type: none"> • New junction works are now complete. |
| | Central Northallerton | <ul style="list-style-type: none"> • Good progress being made with detailed design to widening of the Link, signalisation of the East Road/The Link junction and the Zetland Street/Central Arcade/New Row highway and foot way improvements. • Progressing with the stepdown agreements required to be in place with Central Northallerton Development Company Limited and North Yorkshire County Council to enable project delivery |

PRIORITY – Enhancing Health & Wellbeing

| Purpose: <ul style="list-style-type: none"> - Improve the health and wellbeing of people by providing and supporting community inclusive facilities, activities, events and interventions - Protect consumers from health risks relating to hazardous food, drink and water supplies. - Protect residents from hazardous conditions in privately rented housing. | Outcome: <ul style="list-style-type: none"> - Increased physical activity participation rates & therefore improved health - Reduction in health threatening conditions - Improved health & wellbeing through community events, initiatives, programmes & activities - Increased child safety through learning to swim - Reduce health risks due to food safety improvements - Reduced health risk due to non-compliant private water supplies | | | |
|--|--|--------------|-------------|--|
| Indicator | Target / Benchmark | Quarter 1 | YTD | Q1 Actions / Comment |
| Achieve health & fitness membership base of 3,192 in 2019/20 | 3,192 | 3,501 | 3,501 | The target has been achieved in Q1. This is a year-end target and fluctuation is anticipated throughout the year. Three centres are achieving above target. |
| Achieve 'Learn2 Swim' membership base of 2,645 in 2019/20 | 2,645 | 2,678 | 2,678 | The target has been achieved. |
| Successfully allocate 100% (£236,600) of community grants in 2019/20 | £236,600 | 100% | 100% | The Community Grants Budget for 2019/20 is made up from the following grant funds: Making a difference Grants of £125,000 Hambleton Help Grants of £48,700 Partnership Grants £62,900. The full budget for each grant fund is allocated in Q1 to ensure that the budgets are spent by the end of the financial year. |
| Complete 100% (85/85) of high/medium risk food premises inspections in 2019/20 | 100% [85/85] | 22 % (19) | 22% (19) | To complete 85 high risk food premises inspections by the end of the year. Profile : Q1 - 19; Q2 - 21; Q3 - 24; Q4 - 21 = 85 (profile reflects due dates) |
| Complete 100% (22/22) of private water supply risk assessments in 2019/20 | 100% [22/22] | 23% (5) | 23% (5) | To complete 22 assessments by the end of the year. Profile : Q1 - 5; Q2 - 5; Q3 - 5; Q4 - 7 = 22 |

| Other activity and items of interest for this Priority during Quarter 1 | | |
|---|------------------------|---|
| Environmental Health | Health and Safety | <ul style="list-style-type: none"> Two officers from the Commercial team carried out a health and safety inspection and audit of Camp Hill Estate in Bedale. Although some issues were identified standards had improved since previous visits. |
| | Infectious Disease | <ul style="list-style-type: none"> The Commercial team have been involved with the investigation on an outbreak of Hepatitis A which originated in a neighbouring local authority. |
| | Planning Consultations | <ul style="list-style-type: none"> A significant number of consultations on planning applications for Biomass boilers have been received by the Residential team. This follows the refusal of one of the energy providers to pay the money for burning the wood chips unless the facility has planning permission. This has meant that a new procedure has been put in place as wood burning furnaces do not follow the usual chimney height rules. The Department for the Environment, Food and Rural affairs has a biomass calculator screening tool that the Residential team are considering to implement. |
| | Housing | <ul style="list-style-type: none"> A House in Multiple Occupation License application and fee was received. |
| | Pest Control | <ul style="list-style-type: none"> Work is ongoing with Thirsk Town Council to address the issue of pigeons in Bakers Alley. |

| PRIORITY – Caring for the Environment | | | | |
|--|--------------------|--|------------|---|
| Purpose: <ul style="list-style-type: none"> Maintain high quality and efficient waste and recycling collections Improve customer satisfaction Reduce CO2 and improve energy efficiency | | Outcome: <ul style="list-style-type: none"> Decreased landfill waste Improve service to customers Environmental sustainability Clean litter environment | | |
| Indicator | Target / Benchmark | Quarter 1 | YTD | Q1 Actions / Comment |
| Maintain a recycling rate of 47% | 47% | 55.06% est | 55.06% est | Above target. Statistics are monitored quarterly in arrears. |
| Implement fly tipping and littering enforcement policy including established monitoring of the policy | 100% complete | 90% | 90% | Investigations carried out as to where fly tipping is occurring, with a view to obtain evidence to support any further action that may be required, which will support the final KPI outcome. |
| Facilitate 52 community litter picks in 2019/20 | 52 | 32 | 32 | Target achieved. In Q1, litter collected was estimated to be 4 tonnes, and fly tipping was estimated to be 3 tonnes. |

| Indicator | Target / Benchmark | Quarter 1 | YTD | Q1 Actions / Comment |
|---|--------------------|------------|------------|---|
| Improve efficiency of lighting by reducing energy consumption by 200,000 Kwh in 2019/20 | 200,000 kwh | 72,432 kwh | 72,432 Kwh | <p>Achieve or better the electrical energy saving profile through the installation of energy efficient lighting across the Council's premises and public lighting infrastructure.</p> <p>The Estimated Annual Consumption is the public lighting infrastructure electric power consumption per year. (EAC – Estimated Annual Consumption in Kilowatt hours) Baseline EAC 01/04/2019 = 773,890 Kwh (assessed 01/02/2019) EAC assessed 01/05/2019 = 732,277 Kwh Saving = 41,613Kwh EAC assessed 01/06/2019 = 701,458 Kwh Saving = 30,819Kwh Therefore the total public lighting saving of 72,432Kwh is the difference between the baseline at 01/04/2019 and the latest assessment on 01/06/2019.</p> |

Other activity and items of interest for this Priority during Quarter 1

None Reported

PRIORITY – Providing a Special Place to Live

Purpose:

- Provide an adequate amount of housing to meet the housing needs of all
- Provide support to residents to prevent homelessness
- Support people to lead independent lives
- Shape places across the district through the Local Plan

Outcome:

- Housing sites are made available for market and affordable housing
- Achieve housing for all
- Provide financial support for residents to live in the district independently
- Provide support to residents to prevent homelessness

| Indicator | Target / Benchmark | Quarter 1 | YTD | Q1 Actions / Comment |
|---|--------------------|-----------|-------|---|
| Maintain, each year, a minimum 5-year supply of deliverable housing sites | 5 yrs | 9 yrs | 9 yrs | The Council's five year supply is 9.0 yrs. i.e. over the next five years to 2024 it is expected that 2,974 dwellings be built against a requirement of 331 units per year (that is 315 plus 5% buffer) so $2974 / 331 = 9$ years' worth of supply |

| Indicator | Target / Benchmark | Quarter 1 | YTD | Q1 Actions / Comment |
|--|--------------------|--|--|--|
| Publish the new Local Plan by July 2019 | 100% | Approved and going to public representation 30 July 2019 | Approved and going to public representation 30 July 2019 | Local Plan development Scheme was approved for publication at cabinet on 2 July 2019 and it is going to public representation – 30 July 2019 to 17 September 2019. |
| Deliver an additional 315 new homes by April 2020 | 315 | 120 | 120 | Target achieved. The provisional figures for Quarter 1 show 120 completions. This is better than for 2018/2019 Q1 when 98 dwellings were completed. |
| Ensure 100% of homelessness decisions are made within 56 days. | 100% | 100% | 100% | Target achieved |
| Ensure a total of 85% of funds for disabled facilities applications is spent | 85% (£573,784) | Amount Committed £223,702 (38%) Amount Spent £63,958 (11 %) | Amount Committed £223,702 (38%) Amount Spent £63,958 (11 %) | 2019/20 capital budget is £675,040 85% spend is £573,784 Q1 Amount committed for expenditure is £223,702. Amount Spent is £63,958. Total £287,660 |
| Process new housing benefit claims within 20 days in line with North Yorkshire authorities | 20 days | 16.58 days | 16.58 days | Year to date, 80 claims processed, taking 1,326 days. Average processing time per claim 16.58 days. The performance for each month was: April 18.19 days, May 13.85 days, June 17.74. The number of new claims has increased from 64 in Q4 201-19 to 80 in Q1 2019-20 Speed of processing can also be affected by local policy changes; therefore care should be taken when making comparisons with other LA's. |
| Process new council tax claims within 20 days in line with North Yorkshire authorities | 20 days | 15.42 days | 15.42 days | Year to date, 446 claims processed, taking 6,878 days. Average processing time per claim 15.42 days. The performance for each month was: April 15.80 days, May 14.13 days, June 16.86 days 1 less new claim was received this quarter than quarter 4 2018/19. |

| Indicator | Target / Benchmark | Quarter 1 | YTD | Q1 Actions / Comment |
|--|--------------------|-----------|-----------|---|
| Process housing benefit changes in circumstance within 7 days in line with North Yorkshire authorities | 7 days | 2.72 days | 2.72 days | <p>Year to date, 2,179 changes in circumstances processed, taking 5,926 days. Average processing time per claim 2.72 days.</p> <p>The performance for each month was: April 2.26 days, May 3.15 days, June 2.95 days</p> <p>1,683 less changes in circumstances were processed in Q1 this year, than in Q4 2018/19.</p> <p>Quarter 4 is the quarter where changes are processed in advance, in readiness for the annual increase in welfare benefits at the beginning of the new financial year.</p> <p>As speed of processing can be affected by local policy changes then care should be taken when making comparisons with other LA's.</p> |
| Process council tax changes in circumstance within 7 days in line with North Yorkshire authorities | 7 days | 2.39 days | 2.39 days | <p>Year to date, 3,912 claims processed, taking 9,369 days. Average processing time per claim is 2.39 days.</p> <p>The performance for each month was: April 2.00 days, May 2.89 days, June 2.30 days</p> <p>1,630 less changes in circumstances were processed in Q1 this year, than in Q4 2018/19.</p> <p>Quarter 4 is the quarter where changes are processed in advance, in readiness for the annual increase in welfare benefits at the beginning of the new financial year.</p> |

The tables below show the comparison across North Yorkshire Councils for the processing times for new claims and changes in circumstances. Where there are 'gaps', this information is not available. Going forwards it is anticipated that this data may not be available on a quarterly basis as the Department of Work & Pensions are only now meeting with Councils on a 6 monthly basis. This is due to the ongoing roll out of Universal Credit and the change in volumes of work undertaken by Councils.

NEW CLAIMS PROCESSING TIMES in days *(recorded in arrears)*

| North Yorks Region | 2016-17 | | 2017-18 | | 2018-19 | | 2019/20 Q1 | | 2019/20 Q2 | | 2019/20 Q3 | | 2019/20 Q4 | |
|--------------------|--------------|--------------|--------------------|--------------|--------------|--------------|--------------|--------------|------------|-----------|------------|-----------|------------|-----------|
| | C/Tax | H/Benefit | C/Tax | H/Benefit | C/Tax | H/Benefit | C/Tax | H/Benefit | C/Tax | H/Benefit | C/Tax | H/Benefit | C/Tax | H/Benefit |
| Craven | 26.26 | 27.52 | 18.49 | 19.52 | 21.02 | 19.63 | 24.44 | 12.89 | | | | | | |
| Harrogate | 19.52 | 21.35 | 25.34 | 22.98 | 26.29 | 23.79 | - | - | | | | | | |
| HAMBLETON | 28.43 | 23.62 | 25.61 | 20.76 | 15.03 | 15.34 | 15.00 | 17.00 | | | | | | |
| Scarborough | 16.66 | 18.27 | 17.60 (Q3 only) | 19.90 | 17.47 | 21.83 | 13.64 | 14.37 | | | | | | |
| Selby | 21.14 | 19.32 | 22.54 | 21.86 | 22.82 | 21.04 | 24.89 | 14.33 | | | | | | |
| Richmondshire | 22.26 | 18.32 | 18.60 (Q2 only) | 16.66 | 17.96 | 34.34 | 37.66 | 43.93 | | | | | | |
| Ryedale | 38.11 | 32.16 | 28.60 | 23.96 | 27.36 | 16.81 | 24.18 | 19.50 | | | | | | |

CHANGE IN CIRCUMSTANCES PROCESSING TIMES in days *(recorded in arrears)*

| North Yorks Region | 2016-17 | | 2017-18 | | 2018-19 | | 2019/20 Q1 | | 2019/20 Q2 | | 2019/20 Q3 | | 2019/20 Q4 | |
|--------------------|-------------|-------------|-------------------|-------------|-------------|-------------|-------------|-------------|------------|-----------|------------|-----------|------------|-----------|
| | C/Tax | H/Benefit | C/Tax | H/Benefit | C/Tax | H/Benefit | C/Tax | H/Benefit | C/Tax | H/Benefit | C/Tax | H/Benefit | C/Tax | H/Benefit |
| Craven | 5.61 | 4.86 | 7.40 | 4.49 | 6.15 | 5.69 | 4.38 | 5.82 | | | | | | |
| Harrogate | 6.56 | 5.18 | 7.55 | 6.22 | 6.20 | 4.32 | - | - | | | | | | |
| HAMBLETON | 5.45 | 5.29 | 6.24 | 5.78 | 2.99 | 2.70 | 3.00 | 3.00 | | | | | | |
| Scarborough | 4.53 | 4.39 | 5.60(Q3 only) | 4.68 | 6.42 | 5.00 | 7.91 | 4.17 | | | | | | |
| Selby | 4.07 | 4.23 | 3.99 | 4.55 | 5.17 | 3.66 | 4.05 | 3.04 | | | | | | |
| Richmondshire | 4.58 | 3.33 | 4.90 (Q2 only) | 3.29 | 6.37 | 2.89 | 0.12 | 5.29 | | | | | | |
| Ryedale | 4.84 | 5.10 | 11.98 | 6.28 | 5.12 | 3.37 | 2.41 | 5.28 | | | | | | |

| Other activity and items of interest for this Priority during Quarter 1 | | |
|--|-------------------------------|---|
| Customer Services & Communications | Customer Services | <ul style="list-style-type: none"> Seasonal high level of customer demand as expected following council tax annual despatch. Ongoing demand for garden waste renewals (as at 15 July 2019 £767,550 income has been achieved (100% of year 2 income providing 21,930 subscriptions for 20,929 properties. To date 61.7% of customers have used the self-serve online system). |
| | Technical Communications | <ul style="list-style-type: none"> The Crowd Control social media platform is assisting in-house operation of corporate accounts providing a forward plan calendar of scheduled posts for the council. A review of the campaign successes is reported to Management Team on a quarterly basis. During quarter 1 the most successful campaigns were Tour De Yorkshire Best Dressed Host competition won by Bedale, increasing reach of job vacancies with higher numbers of quality applicants and also the Northallerton Design Guide consultation resulting in higher levels of feedback than expected. |
| | Communications and Graphics | <ul style="list-style-type: none"> Considerable support has been provided to the numerous projects ongoing across the council including: Tour De Yorkshire, Business Conference and Breakfast Briefings, Lambert Hospital consultation, Sowerby Sports Village, Human Resources policy updates, district and parish elections, new Council Plan and preparation for the Union Cycliste Internationale (UCI) World Championships in September 2019. |
| Design & Maintenance | Events | <ul style="list-style-type: none"> Support for Mayfair 2019, Northallerton Food festival, Tour de Yorkshire |
| | Public Health | <ul style="list-style-type: none"> Supporting the installation of three defibrillators in Ingleby Greenhow and Battersby |
| Legal Services | Legal | <ul style="list-style-type: none"> Council was successful in securing Liability Orders at court on appeal for business properties in Hambleton. The Council was also awarded a significant contribution towards costs. |
| | Legal | <ul style="list-style-type: none"> Planning injunction obtained for Plot 11 Ings Lane against residential occupation. |
| | Electoral | <ul style="list-style-type: none"> Delivered both District and Parish elections and European Parliamentary Elections in May. The EU election was delivered on little notice and held only 3 weeks after the local elections. |
| Strategic Housing | HPS service delivery and TUPE | <ul style="list-style-type: none"> Ongoing for acceptance and TUPE of Humankind staff in September 2019. Need to look at where staff will be based, desks need to be purchased and provided and computers need to be supplied also. |

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HAMBLETON DISTRICT COUNCIL

Report to: Scrutiny Committee
24 October 2019

From: Director of Finance and Commercial (s151 Officer)

Subject: **REVIEW OF RISK MANAGEMENT**

All Wards

1.0 PURPOSE AND BACKGROUND:

- 1.1 The principles of the CIPFA Framework Delivering Good Governance in Local Government require Hambleton District Council to be responsible for putting in place proper arrangements for the governance of its affairs and facilitating the effective exercise of its functions, which includes arrangements for the management of risk.
- 1.2 The Council has a robust risk management process in place which includes a comprehensive risk register. The register captures all risks identified as presenting a threat or opportunity which may impact the Council's service delivery. The Council's Risk Management Framework provides information and guidance on the authority's risk appetite and risk management process. The updated Risk Management Framework was sent to Audit, Governance and Standards Committee on 22 October 2019 for approval.
- 1.3 All risks are reviewed by the relevant service manager on a quarterly basis to reflect upon their appropriateness and the adequacy of a mitigating action plan.
- 1.4 The Strategic Risk Management Group established in March 2017 meet regularly to drive all aspects of risk management compliance for the authority, supporting the monitoring roles performed by Management Team, Scrutiny Committee and Audit, Governance and Standards Committee. The group act as risk 'champions' ensuring risk management has an appropriate profile and sufficient focus on the corporate agenda.
- 1.5 Management Team conduct an annually review at quarter four of the Council's full risk register which satisfies the Council's audit obligations and demonstrates good corporate governance by ensuring that senior management are actively engaged with the Council's risk management process.
- 1.6 The process of managing risk is approved by Audit, Governance and Standards Committee on an annual basis in the Annual Governance Statement.

2.0 CHANGES IN RISK MANAGEMENT PROCESS:

- 2.1 Following on from work carried out by the Strategic Risk Management Group in Q4 2018-19, the Council's Risk Management Framework was updated to include a number of changes:
 - The introduction of a new risk type - Corporate Risk.
 - The introduction of new risk definitions – Impact Criteria and Impact Score which should enable Service Managers to score risks with greater consistency.
 - The requirement to report all Service Risks with a net risk score of 12 or above to Management Team, Audit, Governance and Standards Committee and to Scrutiny Committee.

- 2.2 In Q1 2019-20, Project Risks were reviewed and aligned with the Key Corporate Projects as identified in the Council Plan for 2019-23.
- 2.3 Training was given to all Service Managers on the changes introduced to the Risk Management Framework.
- 2.4 As a result of the introduction of the new processes, Risk Managers have completed a comprehensive review of their risks in Q1, which resulted in a large amount of changes being made. Many of these changes relate to risk score. In Q1 100 risks were changed. 16 new risks were identified. A further 34 risks were closed and 73 former service risks were reclassified as, and collated into, one or more of the new Corporate Risks. The authority currently holds a total of 387 active risks across all service areas.
- 2.5 Following these improvements to the risk management process, the risks presented for Scrutiny Committee to review include:
- Annex A Corporate Risks
 - Annex B Key Corporate Project Risks
 - Annex C Service Risks where the net risk appetite threshold is equal to 12 or above.

3.0 RISK MANAGEMENT:

- 3.1 There are no risks associated with the recommendations of this report.

4.0 RECOMMENDATIONS:

- 4.1 It is recommended that the Committee note:

- (1) Annex A HDC Corporate Risks;
- (2) Annex B HDC Key Corporate Project Risks and
- (3) Annex C HDC General Risks with a net risk appetite threshold equalling 12 or above.

LOUISE BRANFORD-WHITE
DIRECTOR OF FINANCE AND COMMERCIAL (S151 OFFICER)

Background Papers: Internal Audit Report - Annual Review of the Risk Management Strategy
Department Quarterly Risk Register Review

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Corporate Risks 2019-20 Q1

| Risk ID | Risk Name | Project and Corporate Risks | Status | Service | Service Director / Responsible Officer | Risk Manager | GROSS / INHERENT RISK | | | ACTION PLAN | ACTION PLAN timeline / completion date | NET / RESIDUAL RISK | | |
|---------|---|-----------------------------|--------|--------------|--|----------------------------|-----------------------|-------|------------|--|---|---------------------|-------|------------|
| | | | | | | | Likelihood : Impact | Score | Risk Level | | | Likelihood : Impact | Score | Risk Level |
| 157 | Health & Safety Lone Working practices are not as effective as they should be leading to potential physical risk and/or sub-standard service, performance, financial and reputational losses and legal challenge. | Corp | Active | All Services | Paul Staines | All Service Managers | 2x5 | 10 | Med | <ul style="list-style-type: none"> HDC implements suitable arrangements where all services work to the Council's Health and Safety Policy and arrangements for Lone working. Service action plans in place including: <ul style="list-style-type: none"> - Specific service risk assessment & practice in place - All relevant staff to receive Health & Safety training - A system of monitoring and review is being implemented where Health & Safety Group monitor risk assessment management and associated Key Performance indicator's. Review of lone working practices to be carried out by risk manager. | On-going | 1x3 | 3 | Low |
| 254 | Health & Safety Workplace Risk Assessment - Failure to identify, implement and review the annual Workplace Health & Safety Risk Assessment programme leads to potential physical risk and/or sub-standard service, performance, financial, environmental and reputational losses and legal challenge. | Corp | Active | All Services | Paul Staines | All Service Managers | 5x5 | 25 | High | Each service to implement their service specific action plan to undertake service risk assessments and workplace inspections annually. Services to work to the HDC Health & Safety Policy and arrangements for risk assessments. - Responsible Officer to assist shared learning and practices across the organisation. | Ongoing | 2x3 | 6 | Med |
| 407 | Failure to develop and maintain an effective Business Continuity Plan leads to lack of resilience or inability to access HDC services resulting in loss of service or failure of service delivery. | Corp | Active | All Services | Paul Staines | All Service Managers | 1x5 | 5 | Med | Disaster Recovery Policy procedure and plans are in place across the organisation and all Service managers are engaged. ICT liaison with Business Areas to provide resilience in line with the business needs. Emergency Kit is in place, being reviewed and backed up on regular basis. | Continuously monitored and reviewed. Emergency kits are not in place yet. Desktop testing taking place Q3 and 4 | 1x4 | 4 | Med |
| 512 | Failure to follow General Data Protection Regulation requirements and failure to follow the Council's Information Policy leads to a violation of Data Protection Act which could lead to a fine by the Information Commissioner's Office and creates a risk of legal challenge and reputational damage where regulations are not complied with | Corp | Active | All Services | Gary Nelson | Laura Venn & All Services | 2x3 | 6 | Med | Retention and destruction of documentation in accordance with the Information Asset Register. Annual review of service area records management in line with Document Retention Policy and all staff to receive Data Protection training/ General Data Protection Regulations updates. | On going | 2x2 | 4 | Low |
| 522 | Failure of the Council's website or failure to maintain current/correct information removes the principal communication and compliance tool, blocks transparency and denies residents' payment facilities and emergency information resource, leading to reputational, legal and financial loss. | Corp | Active | All Services | Helen Kemp | Sandra Hall & All Services | 3x3 | 9 | Med | Website hosted and supported offsite to minimise risk and current information maintained and review on a regular basis. Individual action plans within services established to reduce gross risk - further progress (as planned) needed with these to decrease the likelihood score further with an expectation that this will lead to a net risk of 1X3 over the next two quarters. | Ongoing | 2x3 | 6 | Med |

Corporate Risks 2019-20 Q1

| Risk ID | Risk Name | Project and Corporate Risks | Status | Service | Service Director / Responsible Officer | Risk Manager | GROSS / INHERENT RISK | | | ACTION PLAN | ACTION PLAN timeline / completion date | NET / RESIDUAL RISK | | |
|---------|--|-----------------------------|--------|--------------|--|----------------------------|-----------------------|-------|------------|---|---|---------------------|-------|------------|
| | | | | | | | Likelihood : Impact | Score | Risk Level | | | Likelihood : Impact | Score | Risk Level |
| 602 | Failure to comply with the Public Sector Equality Duty will put the organisation at risk of legal challenge and reputational damage | Corp | Active | All Services | Gary Nelson | Lynne Halls & All Services | 3x4 | 12 | High | Service Managers with advice and guidance from HR will ensure that the General and Specific requirements of the Public Sector Equality Duty are met. All Managers and Staff who follow the requirements of the Equality and Diversity Policy and Procedure and take part in any relevant training as listed in Appendix B of the Learning and Development Policy. | Ongoing | 1X3 | 3 | Low |
| 709 | Failure to set a balanced Annual Budget which is reflected in the 10 year Financial Strategy. | Corp | Active | All Services | Louise Branford-White | Saskia Calton | 1x4 | 4 | Low | Complete and challenge the Budget setting process, generate income, create efficiency savings, reduce the current budget, monitor and manage the position. Report to Cabinet and Council on an annual basis prior to the new financial year and monitor on a quarterly basis. | Annually - February and Quarterly monitoring | 1x3 | 3 | Low |
| 798 | Staff attendance - Failure to effectively manage staff attendance at work leads to potential physical risk, reduced staffing levels and/or sub-standard service with regards to possible financial, environmental and reputational losses and legal challenge. | Corp | Active | All Services | Gary Nelson | Lynne Halls & All Services | 2x3 | 6 | Low | Service Managers with advice and guidance from HR will manage the attendance of staff so contractual requirements are met. This will involve invoking policies such as Sickness Absence Management, Leave, Flexi Time, Capability and Recruitment and Selection. | Ongoing | 1X3 | 3 | Low |
| 800 | Training and Development - Failure to plan, resource and implement and ensure attendance at mandatory corporate training and development (in line with Appendix B of the Learning and Development Policy and Procedure)for employees leads to potential physical risk and/or sub-standard service with regards to possible financial, environmental and reputational losses and legal challenge | Corp | Active | All Services | Gary Nelson | Lynne Halls & All Services | 1X3 | 3 | Low | HR will liaise with Service Managers to ensure that any mandatory training is scheduled onto the Learning and Development Calendar. HR will also work with Service Managers to ensure staff attend corporate mandatory learning and development activities. HR will also work with Service Managers to resolve issues of non attendance of departmental mandatory learning and development. | Ongoing | 1X3 | 3 | Low |
| 813 | Failure to prepare for a No Deal Brexit leads to a disruption to services and an inability to service local needs - <ul style="list-style-type: none"> Fuel shortages affect refuse collection Fuel shortages affect individuals ability to get to work Extra demand for council services due to hardship Internal capacity to deal with changes in regulatory services Failure to manage communications with businesses/community/voluntary leads to reputational damage | Corp | Active | All Services | Paul Staines | Paul Staines | 3X4 | 12 | High | <ul style="list-style-type: none"> Engage with Local Resilience Forum partners at strategic and tactical level using established emergency planning protocols Report by exception to Yorkshire and Humber lead Brexit Officers through Leeds City Council Use Local Government Association toolkit for communication Internal task and finish group to prepare for all related issues. Communicate with service managers forum to ensure business continuity plans reflect the risk. | 13/09/2019 - Local Resilience Forum met and toolkit received 23/09/2019 Task and Finish group set up and service managers communicated with | 3X3 | 9 | Med |

Key Corporate Project Risks 2019-20 Q1

| Risk ID | Risk Name | Project and Corporate Risks | Status | Service | Service Director / Responsible Officer | Risk Manager | GROSS / INHERENT RISK | | | ACTION PLAN | ACTION PLAN timeline / completion date | NET / RESIDUAL RISK | | |
|--|---|-----------------------------|--------|--------------------|--|---------------------------------|-----------------------|-------|------------|---|--|---------------------|-------|------------|
| | | | | | | | Likelihood : Impact | Score | Risk Level | | | Likelihood : Impact | Score | Risk Level |
| Driving Economic Vitality | | | | | | | | | | | | | | |
| Northallerton Bridge and Road Development | | | | | | | | | | | | | | |
| 629 | North Northallerton project slippage: unutilised grant funding is lost if it cannot be used in line with the timetable set out in the funding agreement | PR | Active | Business & Economy | Helen Kemp | Nicole Patterson & Sam Swinbank | 3x5 | 15 | High | The Council is working closely with the Developer Consortium and the relevant stakeholders to ensure the project can be delivered on time. Obligations on project delivery will seek to pass on risk of project slippage to Developer Consortium to mitigate risk to the Council. Project Slippage has forced the need for a contract variation for the Local Enterprise Partnership Local Grant Funding. The Local Enterprise Partnership has agreed this and the variation is being progressed. | Mar-19 | 2x5 | 10 | Med |
| 631 | North Northallerton Development project proceeds but its viability is detrimentally affected by loss of grant. Other development costs would have to be reduced to make the project viable. | PR | Active | Business & Economy | Helen Kemp | Nicole Patterson & Sam Swinbank | 2x5 | 10 | Med | Risk has reduced on receipt of Local Enterprise Partnership Grant. Need to continue to monitor affordable & develop margin and viability for affordable housing. Project variation referenced at risk 629 will maintain the mitigation of this risk. | 2028 | 1x5 | 5 | Med |
| 632 | North Northallerton Project is delayed or stalls completely, adversely affecting the Council's supply of housing and employment land. | PR | Active | Business & Economy | Helen Kemp | Nicole Patterson & Sam Swinbank | 5x5 | 25 | High | The situation is monitored and regular communication maintained with the developer consortium and stakeholders to ensure delivery of project | 2028 | 3x5 | 15 | High |
| Central Northallerton Redevelopment | | | | | | | | | | | | | | |
| 738 | Central Northallerton Redevelopment - The dividends expected from the development are not received | PR | Active | Commercial | Louise Branford-White | Hannah Heinemann | 4x4 | 16 | High | Monitor the Joint Venture Company Budget quarterly and support the development of phase II. | Quarterly | 3x4 | 12 | High |
| 739 | Central Northallerton Redevelopment - The site is not developed to reflect the aspirations of the Council | PR | Active | Commercial | Louise Branford-White | Hannah Heinemann | 4x5 | 20 | High | Central Northallerton Development Company Limited Board meets every 2 months, where Chief Executive & Deputy Leader represent the interest of the Council on this board. In addition, internal meetings are held every 6 weeks to discuss progress and manage the changing environment. | 6 weekly monitoring, completion date summer 2020 | 3x4 | 12 | High |
| 804 | Central Northallerton Redevelopment – Increase in cost of the project once works begin due to unforeseen circumstances | PR | Active | Commercial | Mick Jewitt | Hannah Heinemann | 4x4 | 16 | High | Manage project to identify issues early and identify parts of project that can be adapted. | Monitoring Monthly as Project progresses | 3x4 | 12 | High |
| 805 | Central Northallerton Redevelopment – The Council doesn't achieve the best financial return. | PR | Active | Commercial | Mick Jewitt | Hannah Heinemann | 4x3 | 12 | High | Communicate the wider economic and community benefits. | Ongoing | 4x3 | 12 | High |
| 806 | Central Northallerton Redevelopment – Not possible to deliver the preferred scheme because of lack of retail and leisure pre-lets or viability. | PR | Active | Commercial | Mick Jewitt | Hannah Heinemann | 3x4 | 12 | High | Change to 'Variant' scheme. | Ongoing | 3x4 | 12 | High |

Key Corporate Project Risks 2019-20 Q1

| Risk ID | Risk Name | Project and Corporate Risks | Status | Service | Service Director / Responsible Officer | Risk Manager | GROSS / INHERENT RISK | | | ACTION PLAN | ACTION PLAN timeline / completion date | NET / RESIDUAL RISK | | |
|---|--|-----------------------------|--------|---|--|---------------------------------|-----------------------|-------|------------|--|--|---------------------|-------|------------|
| | | | | | | | Likelihood : Impact | Score | Risk Level | | | Likelihood : Impact | Score | Risk Level |
| 807 | Central Northallerton Redevelopment – The prison site is not successfully developed because developers consider the listed buildings are too great a risk. | PR | Active | Commercial | Mick Jewitt | Hannah Heinemann | 3x4 | 12 | High | Undertake a detailed study showing uses and alterations that are possible and acceptable to promote developer confidence. | Ongoing | 3x4 | 12 | High |
| 808 | Central Northallerton Redevelopment – Crosby Road – The Council loses income. | PR | Active | Commercial | Mick Jewitt | Hannah Heinemann | 3x4 | 12 | High | Consider other actions for improving income. | Ongoing | 3x4 | 12 | High |
| 809 | Central Northallerton Redevelopment – Crosby Road – A precedent could be created for similar arrangements on offers, promotions and incentives in other Council car parks. | PR | Active | Commercial | Mick Jewitt | Hannah Heinemann | 3x4 | 12 | High | Explain the unique reasons for the arrangements at Crosby Road. Explore proposals for other Council car parks where appropriate. | Ongoing | 3x4 | 12 | High |
| 810 | Central Northallerton Redevelopment – Crosby Road – Police parking is displaced from the Crosby Road Car Park. | PR | Active | Commercial | Mick Jewitt | Hannah Heinemann | 3x4 | 12 | High | Central Northallerton Development Company Limited agree arrangements with the Police. The Police make alternative provision. | Ongoing | 3x4 | 12 | High |
| Leeming Bar Employment Site | | | | | | | | | | | | | | |
| 758 | Leeming Bar Industrial Estate – Community objection to the scheme | PR | Active | Business & Economy | Helen Kemp | Nicole Patterson / Sam Swinbank | 5x5 | 25 | High | Establish Community Working Group to allow issues to be raised and to be addressed as part of the Scheme Development Stage. | 2019 | 3x3 | 9 | Med |
| Car Park Improvement Scheme | | | | | | | | | | | | | | |
| 615 | Inability to deliver Bedale Gateway Car Park project leads to long-term damage to local economy through loss of visitors and trade. | PR | Active | Design & Maintenance (incl Public Lighting) | Steve Lister | Clive Thornton | 5x4 | 20 | High | Economic assessment in 2017 indicated limited if any impact on economy due to relief road. Work being undertaken to determine possible partners and funding options to deliver car park. On-going monitoring of economic vibrancy of town. Review in 2019/20. | Dec-19 | 3x5 | 15 | High |
| Dalton Utilities Improvement | | | | | | | | | | | | | | |
| New Project as approved in the 2019-2023 Council Plan in September 2019. Project to be developed. | | | | | | | | | | | | | | |
| Enhancing Health & Wellbeing | | | | | | | | | | | | | | |
| Northallerton Sports Village | | | | | | | | | | | | | | |
| 699 | Northallerton Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended | PR | Active | Leisure & Communities | Steven Lister | Lisa Wilson | 4x4 | 16 | High | <ul style="list-style-type: none"> Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Northallerton Some Section 106 funds have been secured (£300k) National Governing Bodies will be consulted in a timely fashion | 2025 | 3x4 | 12 | High |

Key Corporate Project Risks 2019-20 Q1

| Risk ID | Risk Name | Project and Corporate Risks | Status | Service | Service Director / Responsible Officer | Risk Manager | GROSS / INHERENT RISK | | | ACTION PLAN | ACTION PLAN timeline / completion date | NET / RESIDUAL RISK | | |
|-------------------------------|---|-----------------------------|--------|-----------------------|--|--------------|-----------------------|-------|------------|--|--|---------------------|-------|------------|
| | | | | | | | Likelihood : Impact | Score | Risk Level | | | Likelihood : Impact | Score | Risk Level |
| Sowerby Sports Village | | | | | | | | | | | | | | |
| 741 | Sowerby Sports Village – difficulties in establishing a community based operator(s) to manage the facility | PR | Active | Leisure & Communities | Steve Lister | Lisa Wilson | 3x5 | 15 | High | <ul style="list-style-type: none"> Comprehensive engagement and early constructive discussions with the key stakeholders necessary to explore options and gain community buy-in Action plan to be drafted | 2022 | 2x3 | 6 | Med |
| 742 | Sowerby Sports Village – the commuted sum thresholds are not met by the developers in a timely fashion | PR | Active | Leisure & Communities | Steve Lister | Lisa Wilson | 4x3 | 12 | High | <ul style="list-style-type: none"> Budgets are managed through the Council’s capital programme so that funds are released and returned when grant claims are processed. Appropriate legal agreements are upheld with the developers. Regular dialogue with the developers at senior level. | 2019 | 2x2 | 4 | Low |
| 743 | Sowerby Sports Village – capital costs increase, especially if the scheme takes a long time to deliver | PR | Active | Leisure & Communities | Steve Lister | Lisa Wilson | 3x4 | 12 | High | <ul style="list-style-type: none"> The project is being delivered in phases The project budget will be closely managed using the council’s project management systems so that issues are identified as soon as possible and addressed as appropriate | 2022 | 3x3 | 9 | Med |
| 745 | Sowerby Sports Village (Future Phases) - Funding Plan cannot be resourced sufficiently to develop the village as intended | PR | Active | Leisure & Communities | Steve Lister | Lisa Wilson | 4x4 | 16 | High | <ul style="list-style-type: none"> A Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Northallerton National Governing Bodies will be consulted in a timely fashion The council is considering purchasing a Grant Finder product | 2022 | 3x3 | 9 | Med |
| 761 | Key personnel leave the authority or technical lead is no longer involved in the project | PR | Active | Leisure & Communities | Steve Lister | Lisa Wilson | 2x3 | 6 | Med | <ul style="list-style-type: none"> A robust and resilient ‘project team’ approach has been adopted to ensure any changes in personnel will not have a significant impact on the project delivery. Continued appointment of experienced project manager budgeted for within phase 1. | 2022 | 2x2 | 4 | Low |

Thirsk & Sowerby Leisure Centre Improvements

New Project as approved in the 2019-2023 Council Plan in September 2019. Project to be developed.

Community Leisure Facilities Improvement s - Bedale, Easingwold and Stokesley

New Project as approved in the 2019-2023 Council Plan in September 2019. Project to be developed.

Events and Legacy Programme

New Project as approved in the 2019-2023 Council Plan in September 2019. Project to be developed.

Key Corporate Project Risks 2019-20 Q1

| Risk ID | Risk Name | Project and Corporate Risks | Status | Service | Service Director / Responsible Officer | Risk Manager | GROSS / INHERENT RISK | | | ACTION PLAN | ACTION PLAN timeline / completion date | NET / RESIDUAL RISK | | |
|---|--|-----------------------------|--------|------------|--|-----------------------|-----------------------|-------|------------|---|--|---------------------|-------|------------|
| | | | | | | | Likelihood Impact | Score | Risk Level | | | Likelihood Impact | Score | Risk Level |
| Caring for the Environment | | | | | | | | | | | | | | |
| Crematorium Project | | | | | | | | | | | | | | |
| 811 | Crematorium Project - Increase in costs of the project once design has been developed and fully costed. | PR | Active | Commercial | Mick Jewitt | Hannah Heinemann | 4x4 | 16 | High | Manage project to identify issues early and identify parts of project that can be adapted. Carry out value engineering exercise with the consultant team. | Monitoring Monthly as Project progresses | 3x4 | 12 | High |
| 812 | Crematorium Project - An alternative scheme by a competitor could be submitted for planning permission. | PR | Active | Commercial | Mick Jewitt | Hannah Heinemann | 4x4 | 16 | High | Proceed with the project expeditiously. Review planning application by planning barrister to ensure the Council has submitted the best possible scheme and has given due consideration to all relevant matters. | Monitoring Monthly as Project progresses | 3x4 | 12 | High |
| 813 | Crematorium Project - The income from the service is less than expected and/or the operating costs are higher than anticipated. | PR | Active | Commercial | Mick Jewitt | Hannah Heinemann | 4x4 | 16 | High | Develop KPIs, monitor and implement improvement plans. Identify issues early. | Monitoring Monthly as Project progresses | 3x4 | 12 | High |
| Renewable Energy | | | | | | | | | | | | | | |
| New Project as approved in the 2019-2023 Council Plan in September 2019. Project to be developed. | | | | | | | | | | | | | | |
| Electric Charging Points | | | | | | | | | | | | | | |
| New Project as approved in the 2019-2023 Council Plan in September 2019. Project to be developed. | | | | | | | | | | | | | | |
| Fly Tipping & Littering Improvements | | | | | | | | | | | | | | |
| 803 | Enforcement/Flytipping Project fails to deliver objectives | PR | Active | Wass | Paul Staines | Gary Brown/Sue Seddon | 2x5 | 10 | Med | Project risk register to be management at all project meetings and appropriate action taken to ensure delivery plan achieved. Now included in service plan targets | Quarterly | 1x3 | 3 | Low |
| Depot Relocation Review | | | | | | | | | | | | | | |
| 801 | Darlington Road Depot Project to review layout or re-location fails to produce report in 2019 leading to loss of service and/or incidents due to lack of facilities at current site. | PR | Active | Wass | Paul Staines | Gary Brown/Sue Seddon | 4x5 | 20 | High | Project risk register to be managed at all project meetings and appropriate action taken to ensure delivery plan achieved. Project reporting via Project Management Board. | Oct'19 | 2x5 | 10 | Med |
| 802 | Digital Depot Project fails to meet objectives | PR | Active | Wass | Paul Staines | Gary Brown/Sue Seddon | 3x5 | 15 | Med | Project risk register to be managed at all project meetings and appropriate action taken to ensure delivery plan achieved. Project reporting to Management Team September 2019. | Sep-19 | 2x5 | 10 | Med |

| Risk ID | Risk Name | Project and Corporate Risks | Status | Service | Service Director / Responsible Officer | Risk Manager | GROSS / INHERENT RISK | | | ACTION PLAN | ACTION PLAN timeline / completion date | NET / RESIDUAL RISK | | |
|---|---|-----------------------------|--------|----------|--|--------------|-----------------------|-------|------------|--|--|---------------------|-------|------------|
| | | | | | | | Likelihood Impact | Score | Risk Level | | | Likelihood Impact | Score | Risk Level |
| Providing a Special Place to Live | | | | | | | | | | | | | | |
| Local Plan | | | | | | | | | | | | | | |
| 115 | Market conditions or ineffective spatial planning leads to a reduction in new homes completions and results in the Council not meeting its new homes target and consequently reduction in New Homes Bonus & Council Tax receipts. | PR | Active | Planning | Helen Kemp | Sam Swinbank | 3x3 | 9 | Med | Progress a new Local Plan for the period up to 2035 that reflects current government guidance and provides a good range of deliverable housing sites. Also work closely with developers to bring sites forward. Regular performance monitoring and good project management. | Reviewed quarterly | 3x1 | 3 | Low |
| 116 | Lack of resources or failure in the process leads to Local Plan being found unsound at Examination resulting in a need to repeat the process, leading to speculative planning applications and appeals. | PR | Active | Planning | Helen Kemp | Sam Swinbank | 1x4 | 4 | Low | Project planning to ensure new Local Plan is brought forward in a timely manner and is based on robust evidence; base on Sustainability, Appraisal, Community & Stakeholder engagement and that legal requirements are followed. Review Local Development Scheme annually. Local Planning Enforcement consultants checking document prior to Publication. Investment in planning policy staff resource & software. | Review monthly | 1x4 | 4 | Low |
| 723 | Local Plan - The Plan is found to be unsound at the Examination stage | PR | Active | Planning | Helen Kemp | Sam Swinbank | 2x5 | 10 | Med | Robust evidence base is being developed. Policies to reflect government guidance. Plan is to be checked by experts prior to Publication | Jul-19 | 1x5 | 5 | Med |
| 763 | Ineffective spatial planning results in the Council being found to be in failure and the government intervenes. | PR | Active | Planning | Helen Kemp | Sam Swinbank | 1x5 | 5 | Med | Up to date Local Development scheme to be published. Members & officer involvement in Duty to Co-operate. Robust evidence base for strategic approach in new Local Plan | On-going | 1x4 | 4 | Low |
| 764 | The Local Plan is overly ambitious & cannot be justified at Examination | PR | Active | Planning | Helen Kemp | Sam Swinbank | 4x4 | 16 | High | Robust evidence base has been produced and is being consistently updated. Duty to Co-operate consultation with neighbouring Local Authorities and key stakeholders. Production of Statement of Common Ground. Strategy approach aligns with the Council's Economic Strategy, the Strategic Economic Partnership, etc. | Review in line with LDS | 2x4 | 8 | Med |
| Best in Class Planning service | | | | | | | | | | | | | | |
| New Project as approved in the 2019-2023 Council Plan in September 2019. Project to be developed. | | | | | | | | | | | | | | |
| Lambert Hospital Community Development | | | | | | | | | | | | | | |
| New Project as approved in the 2019-2023 Council Plan in September 2019. Project to be developed. | | | | | | | | | | | | | | |
| Vibrant Market Towns | | | | | | | | | | | | | | |
| New Project as approved in the 2019-2023 Council Plan in September 2019. Project to be developed. | | | | | | | | | | | | | | |

Service Risks with a Risk Threshold of 12 or Above

| Risk ID | Risk Name | CP Priority | Status | Service | Service Director / Responsible Officer | Risk Manager | GROSS / INHERENT RISK | | | ACTION PLAN | ACTION PLAN timeline / completion date | NET / RESIDUAL RISK | | |
|----------------------------------|---|-------------|--------|---------------------|--|-----------------------|-----------------------|-------|------------|---|--|---------------------|-------|------------|
| | | | | | | | Likelihood : Impact | Score | Risk Level | | | Likelihood : Impact | Score | Risk Level |
| Driving Economic Vitality | | | | | | | | | | | | | | |
| 410 | New Homes Bonus grant is pivotal to the resilience of the financial strategy. Failure to increase the tax base year on year or failure of the Government to provide the grant would impinge on this resilience. | FIN | Active | Corporate Finance | Louise Branford-White | Louise Branford-White | 3x4 | 12 | High | The council completes a through review on an annual basis to identify homes which should be included in the tax base that are currently not. The New Homes bonus grant is reviewed in the Government financial settlement annually and this will be monitored specifically for 2019/20. The 10 year financial strategy approved by Council in February 2019 recognises that the government may decrease this grant in future years and therefore the amount of funding profiled has been reduced. | Ongoing | 3x4 | 12 | High |
| 411 | Beyond 2019/20 there is a risk of further significant grant reductions should government priorities shift from increased housing provision to enhancing functions not undertaken by the Council. | FIN | Active | Corporate Finance | Louise Branford-White | Louise Branford-White | 3x4 | 12 | High | To support the future sustainability of the 10 year financial strategy the requirement to generate income is a key objective of the Council. Projects to generate income are being developed. The £30M commercial property portfolio is estimated to generate £400K in the first year of operation 2020/21. | Ongoing | 3x4 | 12 | High |
| 412 | A continued low Bank Base Rate would impact on the Council's ability to generate investment income from balances. | FIN | Active | Corporate Finance | Louise Branford-White | Saskia Calton | 4x3 | 12 | High | The market is continually monitored and estimates made for future investment income which are included in the financial strategy | Monitored daily | 4x3 | 12 | High |
| 413 | Significant reductions in government grant leading to the inability to sustain council services at the current level. | FIN | Active | Corporate Finance | Louise Branford-White | Louise Branford-White | 3x4 | 12 | High | An on-going programme of efficient service delivery, saving reviews and a focus on income generation that ensures best value is being achieved and income is maximised. | Ongoing | 3x4 | 12 | High |
| 786 | Failure to meet the target for business rate growth as reflected in the Financial Strategy would impact upon the financial resilience of the Council. | FIN | Active | Revenues & Benefits | Louise Branford-White | Louise Branford-White | 3x4 | 12 | High | Monitoring of business rate growth is ongoing and opportunities are taken to retain business rates when government initiatives arise e.g. Business Rate Pilot scheme | Ongoing | 3x4 | 12 | High |
| 793 | Treadmills Purchase Phase 1 - Changes in the retail market that impact on our investment including financial difficulties of the tenants | FIN | Active | Commercial | Mick Jewitt | Hannah Heinemann | 4x4 | 16 | High | Monitor at the Capital Monitoring Group and agree appropriate asset management strategy. | | 3x4 | 12 | High |
| 794 | Commercial Property Portfolio - Management of costs increasing or higher than expected | FIN | Active | Commercial | Mick Jewitt | Hannah Heinemann | 4x4 | 16 | High | Careful choice of property, tenants as well as monitoring through the Investment Board and Property Investment Advisor | | 3x4 | 12 | High |
| 795 | Commercial Property Portfolio - Rental income reducing due to business failures or delay in reletting units | FIN | Active | Commercial | Mick Jewitt | Hannah Heinemann | 4x4 | 16 | High | Careful monitoring through the Investment Board and property investment advisor, also advice from Property Investment Advisor regarding market intelligence. | | 3x4 | 12 | High |
| 796 | Commercial Property Portfolio - Legislation introduced that prohibits Local Authorities to borrow for commercial profit | FIN | Active | Commercial | Mick Jewitt | Hannah Heinemann | 4x4 | 16 | High | Continue to review and monitor current regulations and legislation. | | 3x4 | 12 | High |
| 797 | Commercial Property Portfolio - There is insufficient knowledge within the Council to support this commercial investment | FIN | Active | Commercial | Mick Jewitt | Hannah Heinemann | 4x4 | 16 | High | Regular monitoring reports from Property Investment Advisor should minimise this risk. | | 3x4 | 12 | High |

Service Risks with a Risk Threshold of 12 or Above

| Risk ID | Risk Name | CP Priority | Status | Service | Service Director / Responsible Officer | Risk Manager | GROSS / INHERENT RISK | | | ACTION PLAN | ACTION PLAN timeline / completion date | NET / RESIDUAL RISK | | |
|---|---|-------------|--------|----------------------|--|---------------|-----------------------|----|------|--|---|---------------------|----|------|
| Enhancing Health & Wellbeing | | | | | | | | | | | | | | |
| 542 | Failure to have procedures and available resources to carry out proactive and reactive inspections of potentially contaminated land resulting in: <ul style="list-style-type: none"> Significant risk of harm to the environment and public health if any contamination is not remediated. A potential significant financial burden on the Council. Significant reputational damage. | Env | Active | Environmental Health | Paul Staines | Vikki Flowers | 4x5 | 20 | High | <ul style="list-style-type: none"> Documented procedures are in place and are reviewed periodically. Reactive checks are carried out to establish Class A or Class B liability groups to prevent the Council becoming responsible for contaminated sites and funding remediation costs. Information on prioritised sites is shared with Development Management for inclusion on the Council's Brownfield Land register of sites suitable for redevelopment, so the cost of remediation falls to the developer. There is no designated funding in the Environmental Health budget to carry out investigation and potential remediation of contaminated sites. | 30/03/2020 Review of Contaminated Land Strategy. | 3x4 | 12 | High |

Providing a Special Place to Live

| | | | | | | | | | | | | | | |
|-----|---|----|--------|-------------------|------------|------------------|-----|----|------|---|----------------------------|-----|----|------|
| 426 | Failure to properly manage joint arrangements with North Yorkshire County Council Children & Young People's Service leads to safeguarding problems with homeless children, resulting in legal challenge and personal harm | SP | Active | Strategic Housing | Helen Kemp | Nicole patterson | 3x4 | 12 | High | Working closely with other Local Authorities and North Yorkshire County Council to address safeguarding issues and mitigate risk. Need to ensure that despite cuts in funding, through shaping of new delivery models, there continues to be sufficient safeguarding measures in place going forward. New protocol has been implemented from 1st April 2018 | On-going Quarterly reviews | 3x4 | 12 | High |
| 638 | Community Infrastructure Levy income below expectations, leading to a lack of funding for infrastructure improvements and therefore further delivery of housing. | SP | Active | Planning | Helen Kemp | Ann Rawlinson | 4x3 | 12 | High | Procedures to be developed to pursue non payment through the Community Infrastructure Levy regulations. Income low in part due to the levels of exemptions | Quarterly review | 4x3 | 12 | High |

Caring for the Environment

No risks identified with a Service Risk Threshold of 12 or Above

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HAMBLETON DISTRICT COUNCIL

Report To: Scrutiny Committee
24 October 2019

From: Chairman of Scrutiny Committee

Subject: **POLICY REVIEW – RECYLING**

All Wards

1.0 SUMMARY:

1.1 The purpose of this report is to gather evidence from appropriate individuals in order to progress the Review.

2.0 BACKGROUND:

2.1 The Committee has previously agreed to undertake this Review and identified information and issues that it would like to consider. The Project Plan for the review is attached as Annex A.

2.2 The Terms of Reference of the review are as follows:

3.0 INFORMATION AND ISSUES:

3.1 The following Hambleton District Council officer will be in attendance at the meeting:

- Paul Staines, Director of Environment

4.0 RECOMMENDATION:

4.1 It is recommended that the Committee determines information that it would like officers to report upon to the next meeting of the Committee and other issues which they would like considered in respect of the Policy Review.

COUNCILLOR DAVID HUGILL
CHAIRMAN

Background papers: None

Author ref: LAH

Contact: Louise Hancock
Democratic Services Officer
Direct Line No: (01609) 767015

SCRUTINY COMMITTEE
POLICY REVIEW – RECYCLING

TERMS OF REFERENCE:

To review the existing policies regarding household recycling; investigate how recyclables are currently being collected and processed and to explore whether more can be done to improve recycling rates across the District.

SCOPE

- To review existing recycling policies.
- To assess current recycling arrangements and gain an understanding of how household recycling services are delivered.
- To evaluate the Council's current performance.
- To review how the Council publicises its recycling service and whether improvements could be made to improve awareness amongst residents.
- To consider best practice in other Local Authorities.
- To consider the potential impact of the DEFRA Waste and Resources Strategy

OBJECTIVES

- To investigate whether the current recycling policies remain fit for purpose.
- To explore whether current recycling arrangements are effective.
- To identify whether there are any areas of improvement to increase household recycling numbers.
- To ascertain whether current methods of publicity are effective or could be improved.
- To consider best practice in other Local Authorities.

WITNESSES

- Paul Staines, Director of Environment
- Gary Brown, Operations Manager
- Tracey Flint, Recycling Officers
- Representative from UPM - Kymmene
- Representative from Yorwaste
- Representative from appropriate Local Authority

DOCUMENTS/EVIDENCE

- Waste and Recycling Policies
- Statistics
- Benchmarking
- Site Visits to local Recycling Stations if required

OTHER METHODS/CONSULTATION/RESEARCH

Task and Finish Groups.

OFFICER SUPPORT

Louise Hancock, Democratic Services Officer
Gary Nelson, Director of Law and Governance (Monitoring Officer)

TIMESCALE

Commencing September 2019 – Concluding February 2020
(Report to March 2020 Cabinet)

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