

Agenda

Committee Administrator: Democratic Services Officer (01609 767015)

Tuesday, 24 August 2021

Dear Councillor

Notice of Meeting

Meeting **Scrutiny Committee**

Date **Thursday, 2 September 2021**

Time **9.30 am**

Venue **Council Chamber, Civic Centre, Stone Cross, Rotary Way, Northallerton,
DL6 2UU**

Yours sincerely

J. Ives.

Dr Justin Ives
Chief Executive

To:	Councillors	Councillors
	K G Hardisty (Chairman)	Mrs J W Mortimer
	P Atkin	J Noone
	P Bardon	G Ramsden
	R W Hudson	A Wake
	R Kirk	D Watkins (Vice-Chairman)
	N A Knapton	

Other Members of the Council for information

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Agenda

Page No

1. Minutes

To confirm the minutes of the meeting held on 22 July 2021 (SC.7 - SC.9), previously circulated.

2. Apologies for Absence

3. Council Performance 2021/22 (Quarter 1)

1 - 18

Report of the Interim Director of Finance (s151 Officer)

Relevant Ward(s): All Wards

4. Review of Risk Management 2021/22 - Q1

19 - 40

Report of the Interim Director of Finance (s151 Officer)

Relevant Ward(s): All Wards

5. Matters of Urgency

Any other business of which not less than 24 hours' prior notice, preferably in writing, has been given to the Chief Executive and which the Chairman decides is urgent.

Hambleton District Council

Report To: Scrutiny Committee
2 September 2021

From: Interim Director of Finance (s151 Officer)

Subject: **Council Performance 2021/22 (Quarter 1)**

Wards Affected: All Wards

1.0 Purpose and Background

- 1.1 The Council Plan for 2019 – 2023, in its third year, was approved at Cabinet on 6 July 2021 and at Full Council on 27 July 2021.
- 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 to enable 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, 100% or 24 KPIs performed within tolerance at Quarter 1.

3.0 Conclusions

- 3.1 Performance against the 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 Quarter 1 against the Council Plan 2019 - 2023, as detailed in Annex A of the report.

Noel O'Neill
Interim Director of Finance (s151 officer)

Background papers: Departmental Service Plans

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Performance and Improvement Officer
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Council Performance Quarter 1

1 April 2021 – 30 June 2021

This report provides information on performance towards the Council Business Plan Priorities for the first quarter of 2021/22, as reported to the Management Team on 04 August 2021.

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	Q1 Actions / Comment
Facilitate 30 young people into local small businesses by April 2022 through apprenticeships and the graduate scheme.	30	6	6	Apprentices; April 0, May 6, June 0 This is a year-end target.
Support £250,000 of new funding to support business investment in Hambleton during 2021/22	£250,000	£252,201	£252,201	<p>Hunters Hill Business Units, Crakehall - £248,681 investment into a project involving the development of a managed business centre, with conference facilities and food grade units.</p> <p>Yorestore, Crakehall – £3520 investment into a website project for a self-service storage facility business.</p>

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Increase footfall across Hambleton's Market Towns by 5% during 2021/22.	5%	76%	76%	Analysis of GPS analytic footfall data in Q1 shows that, in comparison to 2020-21, footfall has increased significantly in all 5 market towns since some lockdown restrictions were relaxed on the 12th April 2021. The results are very high because most businesses were closed during this quarter last year due to the Covid-19 pandemic.
Achieve a level of Business Rate collection of 97% during 2021/22.	97%	31.26%	31.26%	<p>This is above target for Q1 although is slightly lower than last year's figure which was 40.22% for the same period. The end of 100% retail relief has seen amounts payable dramatically increase. The relief ended 30 June 2021 meaning that the majority of liability has only recently been billed to the ratepayers.</p> <p>Businesses impacted by Covid 19 restrictions are likely to continue to experience difficulty in making payments. This will be reflected in the collection statistics as it may take some time for businesses to bounce back.</p> <p>The impact of the Council's Recovery Strategy remains limited as the courts continue to restrict available dates for court hearings during 2021/22.</p>

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Achieve a level of Council Tax collection of 96% during 2021/22.	96%	35.87%	35.87%	<p>Q1 is a good result considering that Covid-19 is still impacting upon the financial situations of customers. Additionally, the £150 hardship discount granted to CTR customers last year is not available for 2021/22 so those customers will see an increase in their payments. Instalment plans have reverted back to the normal 10 months from April to January. However, many customers are spreading the bill over 12 months which will affect the quarterly collection rate.</p> <p>The impact of the Council's Recovery Strategy remains limited as the courts continue to restrict available dates for court hearings during 2021/22.</p> <p>The amount collected at this stage last year was 35.45%.</p>
Increase the number of major planning applications determined within 13 weeks, or as agreed with the applicant, to 80%.	80%	100% (7 out of 7)	100% (7 out of 7)	Achieved

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Increase the number of minor planning applications determined within 8 weeks, or as agreed with the applicant, to 85%.	85%	88.2% (83 out of 94)	88.2% (83 out of 94)	Achieved

Other activity and items of interest for this Priority during Quarter 1		
Business & Economy	Northallerton Construction Village	<ul style="list-style-type: none"> The Northallerton Construction Village Procurement Process has established Darlington College as the preferred partner.
	Campus@ Northallerton	<ul style="list-style-type: none"> Productive talks have now taken place with the University of Sunderland and York College regarding the curriculum. Engagement is starting to take place with businesses. There was a positive reaction to the Business Week presentation by the University of Sunderland. A curriculum working group has been established including York College, the University of Sunderland and North Yorkshire County Council Adult Education. It has been agreed that the initial focus will be on digital courses for adults (16-19 provision will be developed later) and digital apprenticeships. Progression pathways will be provided, NYCC will deliver Level 1 courses, York College levels 2 and 3 and University of Sunderland level 4 +. Training in other sectors such as health to be developed once the facility is established and conversations can be had with local employers.
	North Northallerton	<ul style="list-style-type: none"> Eric Wright continues to make good progress on site despite delays caused by the relocation of overhead power lines, challenges installing the basal reinforcement and Network Rail's signing of the overbridge agreement. This has resulted in an approximate 12-week delay to the planned completion date, but the contractor is looking for possible programme savings during the construction of the bridge.
	Northallerton Connections	<ul style="list-style-type: none"> Works to the High Street are progressing and the area outside of Barkers is now complete. Works on the eastern side of the High Street are due to commence on 5 July 2021.

Other activity and items of interest for this Priority during Quarter 1		
Business & Economy	C4DI	<ul style="list-style-type: none"> ▪ The launch on 11 May 2021 was well received and there have been a number of requests for tours. ▪ Meetings have been held to discuss how C4DI and the C@N can work together in the future.
	Vibrant Market Towns	<ul style="list-style-type: none"> ▪ Town Team partnerships have been established in Stokesley, Easingwold and Thirsk with a focus on post-Covid economic recovery. Discussions are ongoing with Bedale Town Council as to how a similar partnership approach could be adopted in Bedale. ▪ Stakeholder engagement is now underway to create momentum around the Historic England Northallerton Heritage Action Zone Project. Significant support has been secured and a heritage consultant will be appointed to begin a project to shed new light on the town's heritage and townscape, to actively engage the community and to inform the development of an augmented reality app. ▪ The Vibrant Market Towns Team has continued to liaise with businesses, the Northallerton BID, market traders, Northallerton Town Council and Ward Members regarding progress towards the completion of the first phase of the Northallerton Town Square Improvement Scheme. ▪ The Vibrant Market Town Team continues to administer the temporary pavement licence application process working closely with HDC Licensing and Planning to encourage and educate businesses on the permissions required to operate outdoors for the purpose of serving food and drink.
	Covid-19 Grants	<ul style="list-style-type: none"> ▪ Business & Economy has been administering the promotion of business grants and dealing with enquiries from businesses (640 emails), plus emails to individual officers and phone calls. The team has also been assessing the Additional Restriction Grant, including Restart, applications.
	Other Covid-19 Support	<ul style="list-style-type: none"> ▪ Six Insight with Passion workshops took place in April and May with 32 businesses attending. There were four, 1:1 interviews by Insight with Passion during this period.
	Federation of Small Businesses	<ul style="list-style-type: none"> ▪ Four new members have joined the scheme

PRIORITY – Enhancing Health & Wellbeing

Purpose:

- 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:

- 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 2,500 in 2021/22	2,500	2,006	2,006	Achieved
Achieve 'Learn2 Swim' membership base of 2,000 in 2021/22	2,000	749	749	Achieved
Successfully allocate 100% (£364,000) of community grants in 2021/22	100% (£364,000)	100% (£364,000)	100% (£364,000)	All of the grants have been allocated for 2021/22. £34k has rolled forward for Making a Different Grants from 2020/21 as a result of the pandemic

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Complete 100% (109/109) of high/medium risk food premises inspections in 2021/22.	100% (109/109)	0% 0	0% 0	High/medium food hygiene programmed inspections are due as follows: Q1 = 0, Q2 = 31, Q3 = 41, Q4 = 37 This now includes all Band C premises as well as Bands A and B. It also includes programmed inspections not carried out in 2020-21 A temporary Environmental Health Officer has now been employed via a recruitment agency to assist with addressing the backlog of inspections accumulated due to the Covid-19 pandemic.
Complete 100% (32/32) of private water supply risk assessments in 2021/22	100% (32/32)	9% 3	9% 3	Private water supply risk assessments are due as follows: Q1 = 3, Q2 = 8, Q3 = 6, Q4 = 15 This includes risk assessments not carried out in 2020-21

Other activity and items of interest for this Priority during Quarter 1		
Leisure & Communities	Safeguarding Week	<ul style="list-style-type: none"> The Council supported Safeguarding Week (21-25 June). Messages were shared on social media and the Safer Hambleton Hub held a market stall in Northallerton along with partners from North Yorkshire Police and North Yorkshire Fire and Rescue Service. This was to promote services and support available to people who have been, or are, at risk of abuse.

PRIORITY – Caring for the Environment

Purpose:

- Maintain high quality and efficient waste and recycling collections
- Improve customer satisfaction
- Reduce CO2 and improve energy efficiency

Outcome:

- 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 50%.	50%	50.73% (est)	50.73% (est)	On target
Monitor the effectiveness of the fly tipping and littering enforcement policy.	100%	100%	100%	The statistics for Quarter 1 are as follows: Number of reports of fly tipping 137 Investigations 49 Warning letters 9 Statutory notices 1 Fixed Penalty Notice 1 Duty of Care inspections 29 Formal cautions 1 Estimated tonnage 29 tonnes

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Facilitate 52 community litter picks in 2021/22	52	80	80	<p>690+ sacks were collected from litter picks which, including bulky items, amounted to an estimated 9 tonnes of litter collection.</p> <p>Updated guidance documents, enabling community groups to organise safe litter picking activities, are available for access on the Council website. In addition, meetings with organised groups are being arranged to help co-ordinate the safe collection of the litter and to improve partnership working.</p>

Other activity and items of interest for this Priority during Quarter 1		
Waste and Street Scene	Community litter pick assistance /support	<ul style="list-style-type: none"> An increase in requirement for support has arisen due to higher numbers of community litter picks on public and private land. A meeting has been arranged to discuss how support can be improved

PRIORITY – Providing a Special Place to Live

Purpose: <ul style="list-style-type: none"> – 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: <ul style="list-style-type: none"> – 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.	5yrs	10.1yrs	10.1yrs	Hambleton District Council's supply is very healthy with an envisaged 10.1 years' supply to be delivered in the next five years.
Adopt the new Local Plan by 2022	100%	On track for Q4	On track for Q4	Liaison is taking place with inspectors. It is anticipated that publication and consultation on the main modifications will take place during Q2 and Q3 with a target of adoption in Q4.
Deliver an additional 315 new homes by April 2022.	315	108	108	In comparison to previous years: In Q1 2019/20 141 dwellings were built. In Q1 2020/21 70 dwellings were built. This was lower because of the impact of Covid-19. The figures for 2021/22 are therefore moving in the right direction.

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Ensure 100% of homelessness decisions are made within 56 days.	100%	100%	100%	Achieved
Ensure a total of 85% of funds for disabled facilities applications is spent.	85% (£494,371)	17% (£84,506)	17% (£84,506)	There is a significant volume of work in the pipeline which means that the expenditure target will be met over the course of the year.
Process new housing benefit claims within 20 days in line with North Yorkshire authorities.	20 days	13.56 days	13.56 days	Year to date, 62 claims processed, taking 841 days. Average processing time per claim is 13.56 days. Housing benefit is gradually being replaced by universal credit. However, universal credit does not deal with the more complicated cases such as supported accommodation and temporary accommodation, which still fall under the Local Authorities' housing benefit function. Speed of processing can also be affected by local changes to staffing and to the section. Care should therefore be taken when making comparisons with other Local Authorities
Process new council tax claims within 20 days in line with North Yorkshire authorities.	20 days	19.53 days	19.53 days	Year to date, 550 claims processed, taking 10,743 days. Average processing time per claim 19.53 is days.

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Process housing benefit changes in circumstance within 4 days in line with North Yorkshire authorities.	4 days	2.68 days	2.68 days	Year to date, 1344 changes in circumstances processed, taking 3597 days. Average processing time per claim is 2.68 days. Housing benefit is gradually being replaced by universal credit. However, universal credit does not deal with the more complicated cases which still fall under the Local Authorities' housing benefit function. This affects the number of days taken to process changes in circumstance. Speed of processing can also be affected by local changes to staffing and to the section. Care should therefore be taken when making comparisons with other Local Authorities
Process council tax changes in circumstance within 4 days in line with North Yorkshire authorities.	4 days	1.72 days	1.72 days	Year to date, 5639 changes processed, taking 9725 days. Average processing time per claim is 1.72 days

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	2018-19		2019-20		2020/21		2021/22 Q1		2021/22 Q2		2021/22 Q3		2021/22 Q4	
	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben
Craven	21.02	19.63	21.28	11.31	26.81	17.98								
Harrogate	26.29	23.79	26.99	23.62	28.87	20.90								
HAMBLETON	15.03	15.34	13.40	17.06	19.15	16.11	19.53	13.56						
Scarborough	17.47	21.83	10.86	14.42	13.20	14.78								
Selby	22.82	21.04	23.28	19.06	17.82	18.18								
Richmondshire	17.96	34.34	26.57	25.48	29.63	24.42								
Ryedale	27.36	16.81	16.92	14.12	16.43	8.25								

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

North Yorks Region	2018-19		2019-20		2020/21		2021/22 Q1		2021/22 Q2		2021/22 Q3		2021/22 Q4	
	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben
Craven	6.15	5.69	3.38	4.53	2.90	3.44								
Harrogate	6.20	4.32	5.16	3.33	4.18	5								
HAMBLETON	2.99	2.70	2.10	2.32	1.74	2.07	1.72	2.68						
Scarborough	6.42	5.00	6.0	3.25	8.93	3.08								
Selby	5.17	3.66	3.23	2.85	1.97	2.45								
Richmondshire	6.37	2.89	0.70	2.99	1.99	2.3								
Ryedale	5.12	3.37	1.70	2.40	1.32	1.83								

Other activity and items of interest for this Priority during Quarter 1		
Customer Services	General	<ul style="list-style-type: none"> There has been a seasonal high level of customer demands. The annual council tax bills create a huge spike in contacts and queries, in addition to large numbers of queries regarding Covid-19 and business grants.
	Covid-19	<ul style="list-style-type: none"> Covid-19 continues to impact upon Customer Services who have been providing continual support and service to customers, adapting to demands and changed processes.
	Garden Waste	<ul style="list-style-type: none"> An ongoing demand for garden waste subscriptions continues. Sales opened in December 2020 for collections from April 2021. As of 6 July 2021, the income stream stands at £921,760 (100.5% of last year's total) providing 23,044 licences to 21,749 properties. 74.9% of customers have used the self-serve option and 25% were supported through the process by Customer Services.
ICT	ICT Asset Management Audit	<ul style="list-style-type: none"> The conclusion of the audit was substantial assurance.
	Garden Waste Licences	<ul style="list-style-type: none"> In the fifth year of garden waste licenses the self-service rate reached 74.9%.

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Hambleton District Council

Report to: Scrutiny Committee
2 September 2021

From: Interim Director of Finance (s151 Officer)

Subject: **Review of Risk Management – 2021/22 Q1**

Wards Affected: 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 approved by Audit, Governance and Standards Committee on 22 October 2019 and Council on 17 December 2019; this is still the current working document.
- 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. Risk has become a regular feature on the agenda at the Service Managers' Forum. A corporate risk is discussed at each meeting so that ideas can be shared for mitigation and contingency planning.
- 1.4 The Strategic Risk Management Group meets quarterly to drive all aspects of risk management compliance for the authority, supporting the quarterly monitoring roles performed by Management Team and the Scrutiny Committee. The group act as risk 'champions' ensuring risk management has an appropriate profile and sufficient focus on the corporate agenda.
- 1.5 In the event that the Scrutiny Committee questions an individual risk this would be raised at Council. However, if Scrutiny Committee wanted to raise a query surrounding the process and control of risks then this would be raised with Audit, Governance and Standards Committee. Audit, Governance and Standards Committee has the overall responsibility for risk but the quarterly monitoring scrutiny role is delegated to Scrutiny Committee.
- 1.6 Management Team conduct an annual review at Quarter 4 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.

- 1.7 Audit, Governance and Standards Committee receive the Risk Register annually in October and also if significant changes are made, on an adhoc basis.
- 1.8 The process of managing risk is approved by Audit, Governance & Standards Committee on an annual basis in the Annual Governance Statement. This was included in the draft 2019/20 statement of accounts published on the website on 30 June 2020 and approved by the Annual, Governance and Standards Committee on 20 October 2020. This was later than it would normally be due to Covid-19 in line with the legislation.

2.0 Risk Management Process

- 2.1 In Q1, 94 risks were changed, 15 new risks were identified and 15 risks were closed. All of the new risks relate to the implications of an ageing workforce. The authority currently holds a total of 558 active risks across all service areas.
- 2.2 Extracts of the current risk register displaying active Corporate Risks at Q1 are attached at Annex A, Key Corporate Project Risks are attached at Annex B and Service Risks with a Net Risk Threshold of 12 or above are attached at Annex C.

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
- (3) Annex C HDC Service Risks with a Net Risk Threshold of 12 or Above.

Noel O'Neill
Interim Director of Finance (s151 officer)

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

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Risk ID	Risk Name	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.	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 lone working procedures. Service action plans in place including: <ul style="list-style-type: none"> Specific service risk assessments & practices in place All relevant staff receive Health & Safety training A system of monitoring and review is in place where the corporate Health & Safety Group monitor risk assessment management and associated Key Performance Indicator's. Audits of lone working practices and violence and aggression in the workplace are being carried out by North Yorkshire County Council's Health and Safety Adviser in Q3 and Q4 (in abeyance due to Covid-19. Will continue once restrictions ease). The Civic Centre recovery plan, risk assessment and supporting employees plan reflect the requirements of Covid-19. This has been mirrored for other workplaces such as the depot. Lone working is supported by Service Managers with their staff who are working from home. Service Managers are aware of the importance of knowing whether staff are at work or at home and are taking measures to ensure their staff's health and safety. Specific Covid-19 management team meetings are in place to ensure that plans are up to date. 	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.	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. Professional support is bought in from NYCC Health and Safety Team under a three yearly service level agreement. There is a corporate performance indicator to complete 100% of risk assessments in key areas. This is measured by the Health and Safety Officer and reported to the corporate Health and Safety Group quarterly.	Ongoing	1x5	5	Low

Risk ID	Risk Name	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
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.	Paul Staines	All Service Managers	1x5	5	Med	Business continuity policy, procedure and plans are in place across the organisation and all service managers are engaged. ICT liaise with services to provide resilience in line with the business needs. BC plans are reviewed annually as part of service planning. HDC buy in specialist advice from NYCC Resilience and Emergencies Team. Covid 19 is still in the response phase, though measures are being taken to move into recovery, this is a fluid situation and will change according to government guidance. A full review of the authority's Business Continuity arrangements, especially as they relate to pandemics, will be scheduled once recovery has been settled. This will be led by Paul Staines with advice from NYCC Resilience and Emergencies Team. The timescale is dependent upon a number of factors including the possibility of further waves. Consideration will need to be given to how service managers would respond to a situation in which IT systems are unavailable and the majority of staff are working from home. This will be addressed in Q2 and Q3 2021/22.	Review Business Continuity Plans Q4	1x3	3	Low
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.	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 Regulation updates.	Ongoing	2x2	4	Low

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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.	Mick Jewitt	Anna Wilkes and all service managers	3x3	9	Med	Website hosted and supported offsite to minimise risk and current information maintained and reviewed on a regular basis. Work has been undertaken on updating the web platform to ensure compliance with web accessibility legislation introduced September 2020. There were delays introduced due to the Covid-19 response but the new web platform went live in December 2020. 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 during Q4.	Ongoing	2x3	6	Med
602	Failure to comply with the Public Sector Equality Duty will put the organisation at risk of legal challenge and reputational damage	Gary Nelson	Lynne Halls & All Services	3x4	12	High	Service Managers with advice and guidance from Human Resources 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 4 year Financial Strategy.	Louise Branford-White	Saskia Calton	1x4	4	Low	Complete and challenge the Budget setting process, generate income, create efficiency savings, consider reduction to 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. The financial impacts of COVID 19 are continually monitored and an updated position is provided on a quarterly basis to Cabinet in the Revenue Monitoring Report 2021/22. The financial strategy was updated and approved by Council in February 2021 for the 2021/22 financial year taking into account the estimated reduction in funding from Government and the necessary use of reserves to support the impact of covid-19; the Financial Strategy remains affordable sustainable and prudent.	Annually - February and Quarterly monitoring	1x3	3	Low

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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.	Gary Nelson	Lynne Halls & All Services	2x3	6	Med	Service Managers with advice and guidance from Human Resources 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	Gary Nelson	Lynne Halls & All Services	1x3	3	Low	Human Resources will liaise with Service Managers to ensure that any mandatory training is scheduled onto the Learning and Development Calendar. Human Resources will also work with Service Managers to ensure staff attend corporate mandatory learning and development activities. Human Resources will also work with Service Managers to resolve issues of non-attendance of departmental mandatory learning and development.	Ongoing	1x3	3	Low
823	Failure to take action on climate change leads to adverse impacts on the local and global environment and damages the council's reputation.	Paul Staines	All Service Managers	3x5	15	High	A schedule has been drawn up documenting all services' carbon saving measures and plans to reduce carbon in the future. Working with other authorities regionally and sub regionally on positive actions, also supporting communities to take positive actions. Internal working group has been established and is baselining energy usage. A strategy and policy was approved by Council in April 2021. A further report will go to Management Team in September 2021.	Continuously monitored and reviewed	2x4	8	Med

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824	Cyber Security - Cyber-attack leads to loss of key ICT infrastructure resulting in reduced ability to provide ICT Services, occurring financial loss and reputational damage	Louise Branford-White	Jenny Pan	3x5	15	High	<ul style="list-style-type: none"> Compulsory annual Cyber Security training for all users Procedure to verify each user and issue minimum required access rights Manage privileged access Annual IT Health Check and remedial work PSN (Public Services Network) compliant Strong password policies are in place Regularly test Disaster Recovery and Business Continuity Plan Cyber Security Incident Management Plan in place Annual review of the Information Security Policy Participate in WARP (Warning, Advice and Reporting Point) Yorkshire group to share knowledge and information with other Councils Cyber Liability Insurance is in place. 	Ongoing	2x5	10	Med
833	Local Government Re-organisation	Justin Ives	All Directors	3x5	15	High	Whilst the decision to re-organise local government in North Yorkshire is beyond the Councils control, there are steps that can and will be taken to ensure that non statutory services provided for the residents and businesses of Hambleton are protected.	Jan-21	3x3	9	Med
834	Staff Capacity – Failure to provide sufficient staff of a suitable competence to deliver services and the Council Plan leads to difficulties in implementation of the corporate agenda and/or sub-standard service, performance, financial, environmental and reputational losses and legal challenge.	Steve Lister	All Service Managers	3x6	18	High	<ul style="list-style-type: none"> Directors/Service Managers to regularly review their service requirements and available resources, with urgent discussions needed between Service Managers and Directors where residual risks are 12 or above. Corporate capacity of the organisation to deliver the Council Plan projects and services is reviewed frequently with consideration being given to capacity by Service Managers and Directors, Programme Management Board and Management Team. This takes account of Local Government Re-Organisation, Covid-19 and other strategic pressure. Regular management consideration of the various performance monitoring and review mechanisms to ensure delivery is on target Continual review in light of COVID-19 as a result of the regular Government announcements for increased Local Government support. In the longer term this is connected with Disaster Recovery and Business Continuity planning and of clear importance with regards the health and well being of all staff. There is a moratorium on recruitment with exceptions being considered by Management Team. Alternative options / temporary proposals to be considered by MT / Directors. 	Ongoing Ongoing Quarterly review Ongoing Ongoing Ongoing	2x3	6	Med

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835	Business interruption due to coronavirus	Paul Staines	Paul Staines	3x5	15	High	<ul style="list-style-type: none"> •Central government plans in place- monitor daily •North Yorkshire Local resilience Forum (NYLRF) procedures. Strategic Co-ordination Group (SCG) and Tactical Co-ordination Group (TCG) have now stood down again due to the easing of the situation, meetings are to be Director of Public Health led as of May 2021. •Service Managers to review business continuity plans and plan for 30% absence in conjunction with Brexit and winter flu contingencies. •All office based staff have the capacity for home and mobile working. •Regular staff briefings carried out through newsletters and briefings to Service Manager Forum. •On site teams are provided with cleansing gels, wipes etc •Service Managers to keep up to date with guidance via GOV.UK and England.nhs.co.uk •Procedures are in place to manage a return to work, corporate risk assessment drawn up, plans in place for vulnerable staff and their relatives, working from home procedures and risk assessments completed. Outbreak management plans in place for Civic Centre. •HDC has its own recovery plan, that is reviewed monthly and is fed into the county wide recovery strategy where it is reviewed monthly. •Lateral Flow Device testing is in place for all staff at Council premises and as at April 2021 is available to anyone in the country. •There are staff support plans in place and a new health and well-being service has been launched. Staff are actively encouraged to get the vaccine and are supported to take time off work to facilitate this. •Q2 2021-22 new government advice to ease restrictions has led to a need to review all Return to Work Plans and subsequent measures to ensure business continuity, new risk assessments and a new recovery plan are being drawn up for approval by management team in July 2021. 	Apr-21	2x5	10	Med

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841	Local Government Re-organisation - Failure to deliver the projects in the council plan due to loss of key staff leads to significant financial losses, reputational damage and potential legal challenge.	Justin Ives	All Directors	3x5	15	High	<ul style="list-style-type: none"> Improve the focus on the delivery of projects in the short timescale available. Good contingency planning and regular meetings. Sharing of knowledge and information in a central location. Good record keeping and documented procedure notes. Continue to make Hambleton an attractive place to work to encourage the retention of key employees. Keep staff informed of developments in a timely manner. Establish and retain good relationships with other stakeholders. Ensure that business continuity planning is robust. Maintain a positive attitude and approach to Local Government Re-organisation. 	Ongoing	2x2	4	Low
842	Local Government Re-organisation - Failure to review the effects of the risks involved with Local Government Re-organisation on a regular basis leads to ineffective planning, resourcing and implementing of the corporate objectives.	Justin Ives	All Service Managers	2x2	4	Low	<ul style="list-style-type: none"> All risks are considered on a quarterly basis by Service Managers as part of the quarterly risk management review. The requirement to assess the Local Government Re-organisation risks will be highlighted as part of this process. Service Managers must make the review of Local Government Re-organisation risks a priority. Risks are reviewed quarterly by Management Team, Strategic Risk Management Group and Scrutiny Committee. Checks are therefore in place to ensure that a review will occur. 	Oct-20	1x1	1	Low
843	Local Government Re-organisation - Failure to maintain morale and motivation amongst staff leads to reduced performance, sub-standard service, possible sickness and possible resignation with potential reputational damage and financial losses.	Justin Ives	All Directors	4x2	8	Med	<ul style="list-style-type: none"> Re-assurance that Hambleton District Council will take an active role in the re-organisation process to ensure that the interests of staff are appropriately represented. Keep staff informed of developments in a timely manner. Provision of incentives to retain staff. Continue to support and invest in staff and to develop their knowledge and skills to motivate them in the current situation and prepare them for what the future holds. Understand what makes Hambleton an attractive place to work and continue to work with staff to carry this forward. Communicate regularly with staff on a personal level to resolve issues. Maintain a positive attitude and approach to Local Government Re-organisation. 	Oct-20	2x1	2	Low

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844	A lack of knowledge and application surrounding the prevention of fraud and corruption , increases the possibility of the Council's susceptibility to risk leading to loss of funds and reputational damage. Fraud risks include but not exclusively, commissioning of services, procurement, payroll, identity fraud, council tax, business rates, grants, disabled facility grants, insurance fraud, housing benefit/council tax reduction, cyber enabled fraud.	Louise Branford-White	All Service Managers	2x4	8	Med	<ul style="list-style-type: none"> •A fraud risk assessment has been undertaken against the fraud and corruption risks along with horizon scanning of future potential risks. •A counter fraud and corruption strategy exists which has been communicated throughout and updated at Audit, Governance & Standards Committee in October 2020. •Arrangements are in place to ensure probity and propriety in the conduct of business. •Successful cases of proven fraud / corruption are routinely publicised to raise awareness. •The Council has put in place arrangements to prevent and detect fraud and corruption and also a mechanism for ensuring that this is effective and is reported to committee. •Members and staff are aware of the need to make appropriate disclosures of gifts, hospitality and business. This is checked by auditors and reported to committee. •There is a programme of works to ensure a strong counter fraud culture across all department and delivery agents led by counter fraud experts. •An independent whistle-blowing policy exists. •Aspects of fraud are included in HR policies including the flexi-time policy. Recruitment / selection includes full ID checks. •An annual fraud plan covers all areas of Council business and includes activities undertaken by contractors and third parties or voluntary sector activities. •Professionally trained fraud officers have unfettered access to premises and documents for the purposes of counter fraud investigation. •All allegations of fraud and corruption are risk assessed. •The fraud and corruption response plan covers all areas of counter fraud work; prevention, detection, investigation, sanctions and redress. •Data is shared across services and with other enforcement 	Apr-21	1x2	2	Low

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854	Failure to implement Brexit legislative changes leads to a disruption to services and an inability to service local needs - • Internal capacity to deal with changes in regulatory services • Failure to manage communications with businesses/community/voluntary leads to reputational damage	Paul Staines	All Service Managers	2x3	6	Med	<ul style="list-style-type: none"> • Engage with Local Resilience Forum partners at a strategic and tactical level using established emergency planning protocols • Communicate with service managers forum to ensure business continuity plans reflect the risk • Service managers to review legislative changes and implement necessary service changes 	Apr-21	1x3	3	Low
856	Failure to effectively manage the implications of having an ageing workforce , for example retirement options and age-related health matters could result in a loss of experienced employees and the consequent impact on service delivery and reputation.	Steve Lister	All Service Managers	4x5	20	High	<ul style="list-style-type: none"> • Establish the existing position regards age demographics for each service. • Establish the existing position regards age-related health problems for each service. • Establish benchmark data for the metrics above. • Obtain external guidance / advice from those facing similar issues. • Set up a specific working team to establish an action plan. • Consider ways to retain existing staff. • Use agency staff as a last resort. • Review blanket ban recruitment policy. • Consider apprenticeships and a more flexible approach to job roles. • Promote positive aspects of working in local government eg good pension, longevity. • Review in light of Local Government Re-organisation. 	Jun-21	3x3	9	Med

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					Likelihood : Score	Impact	Risk Level			Likelihood : Score	Impact	Risk Level	
Driving Economic Vitality													
Discover Hambleton													
To be developed in Q2													
Covid-19 Economic Response & Recovery Programme													
To be developed in Q2													
Hambleton Education and Skills Programme													
845	Skills Village Planning permission is not granted	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x5	10	Med	Discussions have been held with Members and planning colleagues ahead of submitting an application to ensure the proposals were suitable and likely to gain consent.	Mar-22	1x5	5	Med	
846	Skills Village Licence for site is not granted	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x5	10	Med	The developers and landowners involved in the North Northallerton site have been engaged in the project planning and are agreeable to granting of a licence.Discussion at Project Management Board and Asset Management Working Group	Mar-22	1x5	5	Med	
847	Skills Village A key member of the Business and Economy Team leaves the organisation before the project starts or during delivery.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	5x4	20	High	The Council has a highly experienced Economic Development Team that comprises 10 individuals. It has the capacity to manage a broad work programme and to ensure priority projects continue to be delivered in such circumstances. Continue to work closely as a team on key projects to build in resilience	Sep-21	3x3	9	Med	
848	Skills Village We are unable to recruit key members of staff needed to help deliver the project.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	5x4	20	High	There are a number of experienced staff in the team to support the delivery of the project but will also require specialised advice and may recruit external support..	Mar-21	3x2	6	Med	

Page 31

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					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
Northallerton Bridge and Road Development												
629	Northallerton Bridge and Road Development -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	Business & Economy	Mick Jewitt	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 – the agreement allows until October 2021 for the bridge to be delivered. A condition of the agreement was to ensure that all Local Growth Fund was spent and evidenced by end of March 2021. This was met. The LEP requested that 10% of the funds were retained to ensure that the developers continue with their reporting obligations through to project completion.	Mar-22	2x6	12	High
631	Northallerton Bridge and Road Development -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.	Business & Economy	Mick Jewitt	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. Progress kept under review through quarterly strategic project monitoring and as part of quarterly performance review and risk management review process.	2028	1x5	5	Med
632	Northallerton Bridge and Road Development -North Northallerton Project is delayed or stalls completely, adversely affecting the Council's supply of housing and employment land.	Business & Economy	Mick Jewitt	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. Progress kept under review through quarterly strategic project monitoring and as part of quarterly performance review and risk management review process.	2028	3x5	15	High

Page 32

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Treadmills - Phase 2 and 3 / Future High Street Fund												
804	Central Northallerton Redevelopment – Increase in cost of the project once works begin due to unforeseen circumstances	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Manage project to identify issues early and identify parts of project that can be adapted. Secure additional external funding where possible. Internal Project Group monitors budget and costs on a 6-weekly basis.	To be reviewed in Q2 2021-22	3x4	12	High
825	Central Northallerton Redevelopment - The income generated from the asset (Treadmills Phase 2 and 3) does not cover the Council's finance costs due to voids or low rents and the cost of management	Commercial	Mick Jewitt	Hannah Heinemann	4x5	20	High	Monitor the income stream closely and maximise commercial income. Future High Street Funding has been secured. Keep members apprised of any future issues.	6 weekly monitoring	3x4	12	High
	Central Northallerton Redevelopment - Negative publicity about Council expenditure to support the scheme (Treadmills Phase 2 and 3) and criticism from other businesses	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Proactive communication plan and good media engagement regarding the wider economic and community benefits to the area	6 weekly monitoring	4x3	12	High
849	Northallerton Town Square Improvements – delivery delays result in Local Growth Fund (circa £1m to spend in Q4 20/21) being lost to the project and the council having to find additional funding to complete delivery.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	4x3	12	High	The project has been designed, tendered and a contractor appointed who is due to start on site in January. Materials have been pre-ordered to front load the scheme with spend. Similarly the S278 commuted sums will be paid in Q4 20-21 to reduce funds remaining. A spend profile will be developed with the contractor and monitored regularly with them to ensure remaining funds can be spent and evidence assembled in the required timeframe.All Local Growth Funding (LGF) has been claimed by the agreed deadline, now monitoring of Future High Street Fund spend for the project	01/03/2022 Complete	2x3	6	Med
850	Northallerton Town Square Improvements – project costs greater than anticipated, council has to additional funding to complete delivery.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	4x3	12	High	A contingency for cost overrun or to cover additional supporting work has been included in the amount contained in the Cabinet report (Nov 20).	Ongoing	2x3	6	Med

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851	Northallerton Town Square Improvements - Project management capacity not sufficient - Issues that arise are not dealt with in a timely manner causing delay or increased expenditure	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x4	8	Med	Provide dedicated project management capacity. Ensure clear roles and responsibilities of project team	Ongoing	2x3	6	Med
852	Northallerton Town Square Improvements - Delays caused by unexpected underground services - Delays to programme and additional cost – negative perception by stakeholders	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	3x3	9	Med	Undertake Ground Penetrating Radar Surveys and trial holes to identify potential issues. Early engagement with utilities. Maintain effective public relations and communications through the scheme.	Ongoing	2x3	6	Med
853	Northallerton Town Square Improvements - Disruption to post Covid High Street Re-opening - Negative feedback from High Street Businesses, traders and residents	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	3x3	9	Med	Effective project management to anticipate and respond to policy changes. Ensure positive public relations and communications through the project.	Ongoing	2x3	6	Med

Enhancing Health & Wellbeing

Community Leisure Facilities Improvements

821	Community Leisure Facilities Improvements - Without a planned approach to investment and development of facilities there will be a deterioration in service performance, financial and reputational losses and a negative impact upon the health and well-being of residents/customers.	Leisure & Communities	Steve Lister	Colin Winfield/ Dave Ashbridge	4x4	16	High	<ul style="list-style-type: none"> Develop and implement a planned approach to investment and development of leisure facilities. SLC gym refurbishment carried out, further work planned for 2020/21 Easingwold Sports hall and 3g now open Funding agreed to carry out developments at Bedale Leisure Centre. 	2023	2x3	6	Med
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					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
Northallerton Sports Village												
699	Northallerton Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended (greater risk to phases after phase 1)	Leisure & Communities	Steve 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• Section 106 funds have been secured (£464k) and Community Infrastructure Levy funding (£310k); and European Regional Development Fund application has been successful for £503,706k• National Governing Bodies will be consulted in a timely fashion.•The Council has purchased a Grant Finder product.	2023	2x4	8	Med
Sowerby Sports Village												
74	Sowerby Sports Village (Future Phases) - Funding Plan cannot be resourced sufficiently to develop the village as intended	Leisure & Communities	Steve 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 Thirsk• National Governing Bodies will be consulted in a timely fashion – currently working with the Football Foundation on a grant application.• The council has purchased a Grant Finder product	2022	2x3	6	Med
Thirsk & Sowerby Leisure Centre Improvements												
820	Thirsk & Sowerby Leisure Centre Improvements - Failure to deliver project to stipulated quality / cost / programme	Leisure & Communities	Steve Lister	Colin Winfield	3x4	12	High	<ul style="list-style-type: none">• Working with established development partner Alliance Leisure.• Project risk register in place.• Fortnightly progress meeting scheduled	Sep-21	2x3	6	Med
Community Assest Enhancement												
To be developed												

Page 34

Page 3 of 3

Risk ID	Risk Name	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												
Implementing the Cimate Change Action Plan												
827	Climate Change - New project as approved in the 2019-23 Council Plan in September 2019. Failure to develop an energy strategy to set out how the Council plans, manages and adapts to meet its energy needs leads to reputational damage.	Design & Maintenance	Paul Staines		4x3	12	High	Set up Climate Action Group. Identify and investigate opportunities to obtain energy from renewable sources. Use LGA Carbon Tool to baseline existing usage and look for shared aproaches and projects. A strategy and policy was approved by Council in April 2021. Application made to the Government's De-Carbonisation Fund in January 2021 and successful £4.7 million grant awarded, Leisure Services to deliver. A further report is to be presented to Management Team in September 2021.	Quarterly	2x3	6	Med
Hambleton Decarbonisation Scheme												
To be developed												
Crematorium Project												
811	Crematorium Project - Increase in costs of the project once design has been developed and fully costed.	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
813	Crematorium Project - The income from the service is less than expected and/or the operating costs are higher than anticipated.	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Develop KPIs, monitor and implement improvement plans. Identify issues early. Report to Members at the earliest opportunity.	Monitoring monthly as project progresses	3x4	12	High
Electric Vehicle Charging Points												
828	Electric Charging Points - Failure to deliver a plan and programme for the introduction of an electric vehicle charging infrastructure leads to reputational damage to the Council	Design & Maintenance	Steven Lister	Clive Thornton	3x3	9	Med	Development of electric vehicle charging infrastructure strategy / plan. Priority locations have been identified. Programme for priorities in place. Monitor and review. Significant impact of COVID-19 on scheme delivery	Sep 21 Nov-21 Jan-22 Mar-22	2x2	4	Low

Page 36

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					Likelihood : Score Impact	Risk Level	Likelihood : Score Impact			Risk Level			
Decarbonisation of the Leisure Centres													
To be developed													
Providing a Special Place to Live													
New Local Plan													
115	Local Plan -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.	Planning	Jon Berry / Mick Jewitt	Jon Berry	3x3	9	Med	Progress a new Local Plan for the period up to 2036 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	
	Local Plan - Ineffective spatial planning results in the Council being found to be in failure and the government intervenes.	Planning	Jon Berry / Mick Jewitt	Jon Berry	1x5	5	Med	Up to date Local Development scheme to be published in September 2021. Members & officer involvement in Duty to Co-operate. Robust evidence base for strategic approach in new Local Plan	On-going	1x4	4	Low	
Best in Class Planning service													
831	Best in Class - iESE Review fails to deliver improvements	Planning	Jon Berry	Jon Berry	2x5	10	Med	The iESE involvement is now complete and the Chief Planning Officer is using their findings as a base to design an improvement plan, there has been some delay and requirement to amend draft plans due to Covid and emerging Local Government Re-organisation. Implement Improvement Plan.	Ongoing	1x3	3	Low	
832	Best in Class - Lack of resource hampers attempts to put improvements in place	Planning	Jon Berry	Jon Berry	4x5	20	High	Review staffing levels weekly with Development Managers and action immediately to replace/backfill where necessary Chief Planning Officer in post. Brief Management Team on resource requirements	Ongoing	1x3	3	Low	
Heritage Action Zones													
To be developed													

Page 37

Risk ID	Risk Name	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
Vibrant Market Towns												
751	Vibrant Market Towns Project – Business Bulletins. Declining numbers on mailing list or increasing numbers of subscribers are not opening bulletin.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x3	6	Med	Keep content relevant and to the point. Continual promotion of the bulletins to businesses, and reminder promotional work internally so that Business & Economy team can recruit a pipeline of new subscribers.	Reviewed annually/ January 2022	2x3	6	Med
752	Vibrant Market Towns Project – Town distinctiveness themes. Lack of adoption by towns.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x3	6	Med	Develop distinctiveness themes in conjunction with delivery partners in each town to ensure buy-in and support. Further development on Vibrant Market Towns to be ongoing when return to 'normal' times following Covid-19. Gencon and Gillespies have been commissioned to complete Town Investment Plans which will incorporate distinctiveness themes developed with the input of local stakeholders	Dec-21	2x3	6	Med
753	Vibrant Market Towns Project – Professional Communications and Media. Social Media – a controversial post may cause offence.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	1x4	4	Low	Social Media training and guide provided to the team. The posts will be created and scheduled in advance, taking away the risk of an 'off the cuff' post. Post content will be written to avoid controversy.	On-going	1x4	4	Low
756	Vibrant Market Towns Project –Developing the Markets offer across the district. Lack of engagement by traders.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x3	6	Med	The development and promotion of the markets is embracing all the markets in the district. Regular communications with traders has been established and will continue. The work is managed by a project management team as required in association with Design and Maintenance.	Project Group meets as required	2x3	6	Med

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					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
416	Significant reduction in government grant and support from business rates leading to the inability to sustain council services at the current level.	Corporate Finance	Louise Branford-White	Louise Branford-White	4x5	20	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. The 4-year Financial Strategy 2021/22 to 2024/25 takes into account the estimate reduction of grant and business rates funding, where 11 risks are provided in detail in the Financial Strategy 2021/22 to 2024/25 Report approved by Members in February 2021.	Ongoing	4x4	16	High
542	<p>Failure to have procedures and available resources to carry out proactive and reactive inspections of potentially contaminated land resulting in:</p> <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. 	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. However, it is a legislative requirement that the Council would fund decisions made. • Contaminated Land now included in the Service's Enforcement Policy. 	31.03.2022 Review	3x4	12	High

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					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
732	Failure to have an appropriate Management Information System (MIS) for Environmental Health to collect data, create and maintain intelligent work processes, provide and analyse performance management information and provide data for statutory returns and other requests for information resulting in: • Inefficient working practices. • Lack of effective performance management. • Poor quality customer interaction. • Increased customer complaints. • Failure to provide information to Government agencies and other bodies/individuals. • Failure to comply with data protection requirements. • Failure to complete project within timescale due to the coronavirus pandemic.	Environmental Health	Paul Staines	Vikki Flowers	5x4	20	High	<ul style="list-style-type: none"> Current Management Information System is not fit for purpose. Data is recorded; however the system does not allow effective performance management, intelligent workflows, agile working solutions or effective customer interaction. Data retention is not compliant with statutory requirements. Lack of knowledge and expertise to make improvements. Following a review of the current system to identify deficiencies, it has been established that the required improvements are likely to be cost prohibitive. A new Management Information System provider has been appointed. Challenge to implement system during new working arrangements as a result of Coronavirus and the go live date has been delayed due to Coronavirus and development issues within the system. 	31.03.2022 Implementation of the Management Information System. The development and implementation phases are now underway	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.	Revenues & Benefits	Louise Branford-White	Louise Branford-White	4x5	20	High	Monitoring of business rate growth is ongoing and opportunities are taken to retain business rates when government initiatives arise e.g. Business Rate Pool with other West Yorkshire and North Yorkshire Councils in 2020/21. The Council has not entered any Business Rate pooling arrangements for 2021/22 due to the potential detrimental impact from the Covid-19 pandemic. The Comprehensive Spending Review in Autumn 2021, as to potential changes through the Business Rate Retention Scheme and Fair Funding review undertaken from Government, is awaited for the funding implications on the Council. The Council is pro-actively lobbying government with regard to potential funding that will be received.	Ongoing	4x4	16	High

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