

# Public Document Pack

**HAMBLETON**  
DISTRICT COUNCIL

## AGENDA

Committee Administrator: Democratic Services Officer (01609 767015)

Wednesday, 11 November 2015

Dear Councillor

### NOTICE OF MEETING

Meeting                **SCRUTINY COMMITTEE**  
Date                    **Thursday, 19 November 2015**  
Time                    **9.30 am**  
Venue                   **Main Committee Room, Civic Centre, Stone Cross, Northallerton, DL6 2UU**

Yours sincerely

***P. Morton.***

Phillip Morton  
Chief Executive

**To:**                    Councillors                    Councillors  
                          A Wake (Chairman)            R W Hudson  
                          Mrs C S Cookman (Vice-Chairman)    D Hugill  
                          M A Barningham                Ms C Palmer  
                          S P Dickins                        Mrs I Sanderson  
                          G W Ellis                            S Watson  
                          A W Hall

Other Members of the Council for information

## **AGENDA**

### **Page No**

1. MINUTES  
To confirm the minutes of the meeting held on 10 September 2015 (SC.7 - SC.9), previously circulated.
2. APOLOGIES FOR ABSENCE
3. COUNCIL PERFORMANCE 2015/16 QUARTER 2 1 - 12  
Report of the Executive Director and Deputy Chief Executive
4. HEALTH AND SAFETY QUARTER 2 2015/16 13 - 20  
Report of the Executive Director and Deputy Chief Executive
5. REVIEW OF RISK MANAGEMENT 21 - 24  
Report of the Executive Director and Deputy Chief Executive
6. 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  
19 November 2015

**Subject:** COUNCIL PERFORMANCE 2015/16 (QUARTER 2)

All Wards

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### **1.0 PURPOSE AND BACKGROUND:**

- 1.1 The new Council Plan for 2015-2019 was adopted by Council in September and has been published. This is the second quarter reporting against the newly developed strategic Key Performance Indicators (KPIs) that reflect the new Council Plan aims and priorities.
- 1.2 The Council Plan shows the Council's goals with measurable outcomes in the form of these 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 the Scrutiny Committee with details on progress towards the Council's aims together with information on indicators performing exceptionally well, and actions to address areas of under-performance at Quarter 2. The public has access to this information through these quarterly performance reports.
- 1.4 The Council's Performance and Risks are also reported quarterly to the Extended Management Team.
- 1.5 Hambleton Highlights, the Council's annual performance review of 2014/15 was approved by Cabinet in September 2015 and published on the new website.

### **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, 91.2% of KPIs performed on or above target for Quarter 2, 8.8% fell significantly below target.
- 2.3 Of the KPIs successfully meeting their targets, the following three had the greatest level of achievement:

2.3.1 Enable 300 targeted people to participate in new activities or initiatives offered from community venues

At Q2 a total of 323 people from the key target groups of disabled people, older people, women and girls have participated in new activities and initiatives, surpassing the annual target.

2.3.2 To achieve a minimum customer satisfaction rating of 90% in respect of the Council's waste collection services.

The survey conducted in Q2 returned results of Good - 66%, Satisfactory - 29% a total of 95% against the target of 90%. Customer satisfaction will be measured again during 2016/17 once the new service is bedded in.

2.3.3 To detect and prevent the amount of housing benefit and council tax fraud & error against a target of £50,000.

Dept. for Work & Pensions (DWP) investigations identified £37,070 of Housing Benefit overpayments and £3,863 in Council Tax Benefit, with figures for error under the Fraud and Error Reduction Incentive Scheme (FERIS) for Q1 recorded as £32,000. This gives a total to date of £72,933, well in excess of the full year target. Figures are notified in arrears and not yet available for Q2.

2.4 Those KPIs not meeting their targets in Q2 are:

2.4.1 Deliver a total of 170 affordable homes (including 12 rural)

Target Q2 = 50% or 85 Actual Q2 = 43 or 25.3%

Total of 9 extra delivered in Q2 = Northallerton (5), Aiskew(4)

The majority of affordable homes are delivered by Section 106 and the market and developers' build rates therefore impact delivery rates.

Investigations are in progress with Legal Services to determine whether Section 106 clauses can be developed to help increase delivery rates.

2.4.2 Process new housing benefit claims within 20 days in line with North Yorkshire authorities

Target Q2 = 20 days Actual Q2 = 25 days

2.4.3 Process new council tax claims within 20 days in line with North Yorkshire authorities

Target Q2 = 20 days. Actual Q2 = 27 days

The targets for both 2.4.2 and 2.4.3 have been impacted by

- larger volume of cases processed
- staff vacancy from April until mid-July 2015 when a new employee was recruited
- new staff member in training
- long-term sickness for the period June / August

In September processing time was reduced to 24 days for both Housing Benefit and Council Tax new claims. The National Average is 24 days.

### 3.0 **CONCLUSIONS:**

3.1 Performance against the revised Council Plan 2015-19 key priorities is being managed and action plans have been 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 Q2 against the Council Plan 2015-19, as detailed in Annex 'A'.

JUSTIN IVES

Background papers:

Extended Management Team Report 2015/16 Quarter 2

Contact:

Justin Ives

Director of Support Services & Deputy Chief Executive

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## **Council Performance Quarter 2 01 July – 30 September 2015**

This report provides information on performance towards the Council Business Plan Priorities for the second quarter of 2015/16, as reported to the Extended Management Team on 2 November 2015.

### **Key Priorities:**

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

**PRIORITY – Driving Economic Vitality**

<b>Purpose:</b> <ul style="list-style-type: none"> <li>- Promote growth of local economy</li> <li>- Support economic growth through planning</li> <li>- Enable businesses to set up and grow</li> <li>- Provide business friendly services</li> <li>- Establish links with education</li> <li>- Maximise private sector investment to the District</li> <li>- Improve market town vitality and viability</li> </ul>	<b>Outcome:</b> <ul style="list-style-type: none"> <li>- New business &amp; commercial openings made available</li> <li>- Increased grant availability and opportunity for young people</li> <li>- Businesses stay, grow and relocate to the area</li> <li>- Support developers achieve planning permission for new homes, businesses, industrial developments &amp; infrastructure</li> <li>- Community Infrastructure levy is implemented to assist economic development</li> <li>- Land is allocated to meet employment needs until 2035 through the 2018 Local Plan</li> </ul>		
<b>Indicator</b>	<b>Target / Benchmark</b>	<b>Quarter 2 Cumulative</b>	<b>Q2 Actions / Comment</b>
Facilitate 25 young people into local small businesses by April 2016 through Apprenticeships	25	25	Excellent uptake on apprentice grant. 25 businesses applied for grants in the first two quarters and are in the process of appointing apprentices. Some further places will become available if businesses cannot find an apprentice.
Facilitate 15 graduates into Hambleton businesses by April 2016 through the Graduate Scheme	15	9	Continuing to promote graduate scheme, steady interest shown.
100% of projects implemented this year in the Economic Strategy compared to target	100%	40%	17 Projects in the Economic Strategy Delivery Plan for 2015/16 are being implemented. Q2 target 40%, Q3 target 30% and Q4 30%.
100% of milestones met in key infrastructure project (Dalton Bridge).	100%	33.3%	1 project milestone - Scheme Development completed 6th August. Q2 target 33%, Q3 target 33% and Q4 33%

**Q2 Council Business Plan Performance 2015/16**

Indicator	Target / Benchmark	Quarter 2 Cumulative	Q2 Actions / Comment
Work with the business community to agree and develop 5 market town investment plans by March 2016	5	0	Following a decision by Elected Members - this project has been put on hold and the position will be reviewed in December
To achieve a level of Business Rate collection of 98%	98%	60.93%	This is an increase of 0.60% compared with 2014/15. In monetary terms the amount collected is £286,555 more as at this period in 2014.
To achieve a level of Council Tax collection of 98%	98%	59.19%	This is an increase of 0.03% compared with 2014/15. However in monetary terms the amount collected is £912,359 more than that collected in September 2014. Please note that taxpayers now have the option to pay over 12 months rather than the standard 10 months.
To ensure the actual amount of Business Rates collected against the budget is £26.9m in 2015/16	£26.9m	£16.99m	The amount collected in Q2 is £6,696,865. The cumulative total of £16,987,412 represents an increase of £286,555 or 1.71% compared with Q2 September 2014 of £16,700,857.
To increase the number of major planning applications determined within 13 weeks, or as agreed with the applicant, to 70%	70%	90%	Increased use of extensions of time and better discussions with applicants / agents.
To increase the number of minor planning applications determined within 8 weeks, or as agreed with the applicant, to 85%	85%	92%	Increased use of extensions of time and better discussions with applicants / agents.

**Other activity and items of interest for this Priority during Quarter 2**

<b>Business &amp; Economy</b>	<p>Thirsk Industrial Estate Signage</p> <ul style="list-style-type: none"> <li>14 businesses agreed to contribute to the second sign, all artwork now agreed, sign to be erected first week in October 2015.</li> </ul>
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**Q2 Council Business Plan Performance 2015/16**

<b>Other activity and items of interest for this Priority during Quarter 2</b>	
<b>Business &amp; Economy</b>	<p>Dalton Bridge</p> <ul style="list-style-type: none"> <li>▪ The following key activity has been completed: <ul style="list-style-type: none"> <li>- Various press releases, community newsletters and a Community Engagement Event in August 2015.</li> <li>- Secured £288,000 from the Environment Agency July 2015</li> <li>- Significant work done on establishing a Business Improvement District for Dalton Industrial Estate – Secretary of State Notification, analysis of business rates, geographical boundary defined, business plan prepared, businesses consulted and implementation programme developed</li> <li>- Detailed site investigation complete</li> <li>- Planning submission prepared, to be submitted in w/c 5 October 2015.</li> <li>- Significant work with the Environment Agency to agree design principles for the scheme.</li> <li>- Significant work with NYCC to manage the tender process for the construction phase</li> </ul> </li> <li>▪ Prospectus presented to Teesside University can work together to support local economic growth across the District. Teesside University have agreed to jointly bid with HDC for ERDF funding, first bid to be submitted 26 September 2015</li> </ul>
	<p>Teesside University Prospectus</p> <ul style="list-style-type: none"> <li>▪ Legal documents prepared on behalf of the Parish Council to set up agreements with landlords, supplier and businesses to implement the scheme.</li> </ul>
	<p>Stokesley Wi-Fi</p> <ul style="list-style-type: none"> <li>▪ 16 businesses have taken up the offer of a subsidised membership with the Federation of Small Businesses (FSB), a partnership between HDC and FSB.</li> </ul>
<b>Planning</b>	<p>Appeals</p> <ul style="list-style-type: none"> <li>▪ Tanton Road Housing Development appeal was upheld and the development will now proceed.</li> </ul>
	<p>Neighbourhood Planning</p> <ul style="list-style-type: none"> <li>▪ A number of Neighbourhood Plan Areas have been designated, these are: <ul style="list-style-type: none"> <li>- Appleton Wiske - consultation is underway on two possible sites</li> <li>- Huby - meeting took place on 24 August and draft plan is being prepared</li> <li>- Easingwold - currently consulting on Draft Plan</li> <li>- Ingleby Arncliffe – work has recently re-started</li> </ul> </li> <li>▪ Stokesley is due to be designated as a Neighbourhood Plan Area by Cabinet in October 2015</li> <li>▪ In addition meetings have taken place with Northallerton and East Harlsey in September 2015</li> </ul>



## PRIORITY – Enhancing Health & Wellbeing

<b>Purpose:</b> <ul style="list-style-type: none"> <li>- Improve the health and wellbeing of our people by providing and supporting community inclusive facilities, activities, events and interventions</li> </ul>	<b>Outcome:</b> <ul style="list-style-type: none"> <li>- Increased physical activity participation rates &amp; therefore improve health</li> <li>- Reduction in health threatening conditions</li> <li>- Improved health &amp; wellbeing through community events, initiatives, programmes &amp; activities</li> <li>- Increased child safety through learning to swim</li> <li>- Improved community cohesion &amp; quality of life</li> </ul>		
<b>Indicator</b>	<b>Target / Benchmark</b>	<b>Quarter 2 Cumulative</b>	<b>Q2 Actions / Comment</b>
Generate 2,450 leisure centre health & fitness memberships	2,450 year	2,568	The profile for Health & Fitness memberships fluctuates throughout the year; the target for March '16 is 2,450. We anticipate drop-off between now and Dec '15 and growth Jan to March '16. Our membership base is 193 higher than this time last year.
Achieve £2.69m of leisure centre income (fees & charges)	£2.69m	£1.256m	Income is on target – improving from Q1's 1.2% shortfall against target.
Achieve 2,540 learn to swim children memberships	2,540 year	2,624	3.3% up against target. 68% of members are now on Direct Debit. Work has started across all leisure centres to further develop this product and programme.
Enable 300 targeted people to participate in new activities or initiatives offered from community venues	300_year	323	Targeted groups: disabled people (43); older people (29); women and girls (251). Exceeded target with women due to 'first time' runners with parkrun. New targets to be set for Q3 and Q4.
Achieve 556 referrals signed up to Take That Step programme	556	298	Referrals continue to be made at a rate of 15-20 per week following scheme remodelling
Allocate £0.125m to sustainable initiatives	£125,000	£125,000	The full grant budget was allocated and agreed by Cabinet on 7 July 2015
Ensure that 85% of Section 106 Agreement funds are allocated at any given time	85%	86%	The Q2 allocation percentage is lower than in Q1 but still above target. 2 significant amounts have not been allocated from developments in Linton on Ouse and Bedale. An action plan is required for Linton on Ouse and a refreshed action plan is imminent for Bedale
Determine the planning application for the North Northallerton Sports Village by October 2015	100% Oct 2015	N/A	To be reported in Q3

**Q2 Council Business Plan Performance 2015/16**

<b>Other activity and items of interest for this Priority during Quarter 2</b>		
<b>Leisure &amp; Communities</b>	Safeguarding Policy	The Council's Safeguarding Policy has been reviewed and approved by Management Team

**Q2 Council Business Plan Performance 2015/16**

**PRIORITY – Caring for the Environment**

<b>Purpose:</b> <ul style="list-style-type: none"> <li>- Improve efficiency of waste collections and recycling</li> <li>- Improve customer satisfaction</li> <li>- Reduce CO2 and improve energy efficiency</li> </ul>	<b>Outcome:</b> <ul style="list-style-type: none"> <li>- Efficient collection rounds with fit for purpose fleet</li> <li>- Decreased landfill waste</li> <li>- Improve service to customers</li> <li>- Environmental Sustainability</li> </ul>		
<b>Indicator</b>	<b>Target / Benchmark</b>	<b>Quarter 2 Cumulative</b>	<b>Q2 Actions / Comment</b>
To achieve a minimum customer satisfaction rating of 90% in respect of the Council's waste collection services.	90%	95%	Result represents ratings of Good - 66%, Satisfactory - 29%; customer satisfaction will be measured again during 2016/17 once the new service is bedded in.
Reduce kerbside collected residual waste to 400 kg/pef head/year by 2017. (405kg 14/15).	400kg	213.9kg est	Reported quarterly in arrears. Recycling Officer confirmed Q1 at 109.9kg, with an estimated 104kg for Q2.
Increase the recycling rate to 53% by 2017 (including composting)	53%	52% est	Reported quarterly in arrears. To be achieved by new collection method.
All existing households (100%) to receive a service by the end of March 2016.	100%	98%	Includes communal sites e.g. flats and more rural and difficult to access properties eg A1, A19
Reduce the Council's carbon footprint year on year	1%	N/A	High level strategy to manage Council's carbon footprint being developed during Q3 and Q4

**Other activity and items of interest for this Purpose during Quarter 2**

<b>Design &amp; Maintenance</b>	<b>Environment</b>
Event Support	<ul style="list-style-type: none"> <li>▪ Installation on trial basis, low energy LED (White) lighting in Bullamoor Park, Northallerton</li> <li>▪ Support to the Northallerton High Street Festival held in September</li> <li>▪ Support to the Former Northallerton Prison community visits</li> </ul>
Waste Survey	<ul style="list-style-type: none"> <li>▪ Survey of residents undertaken and returns analysed with action plan developed where appropriate</li> </ul>

## Q2 Council Business Plan Performance 2014/15

### PRIORITY – Providing a Special Place to Live

Purpose:	Outcome:	Target / Benchmark	Quarter 2 Cumulative	Q2 Actions / Comment
<ul style="list-style-type: none"> <li>- Provide an adequate amount of housing to meet the housing needs of all the local community</li> <li>- Provide support to residents to prevent homelessness</li> <li>- Support people to lead independent lives</li> </ul>	<ul style="list-style-type: none"> <li>- Housing sites are made available for market and affordable housing</li> <li>- Achieve affordable housing and appropriate housing mix</li> <li>- Provide financial support for residents to live in the district independently</li> </ul>	5 yrs	5.44 yrs	
<b>Indicator</b>				
Maintain, each year, a minimum 5-year supply of deliverable housing sites		170 (100%)	43 [25.3%]	Q1 total 34, Q2 total 9 - Northallerton (5), Aiskew(4). The majority of affordable homes are delivered by Section 106 and the market and developers' build rates therefore impact delivery rates. Investigations are in progress with Legal Services to determine whether Section 106 clauses can be developed to help increase delivery rates.
Deliver a total of 170 affordable homes ( <i>including</i> 12 rural)		12 (100%)	15 (125%)	Q1 total 11, Q2 total 4 - Aiskew (4).
Deliver a total of 12 affordable homes in rural locations		100% Mar 2016	N/A	To be reported in Q4 Consultants appointed and work underway with target 1 December Cabinet for approval of document
Achieve 480 homelessness preventions		480	295	Q1 total 165, Q2 total 130 - 81 by Housing Options Team, 18 by CAB & 31 by Foundation
Achieve 100% financial year spend on Disabled Facilities Grants applications		100% (£271,101k)	46.7% (£125,656)	The Q2 spend of £107,212 represents a major increase on the Q1 spend of £18,444 and further spend has been committed during Q2. Spend fluctuates through the year but monitored via quarterly meeting with the Home Improvement Agency (HIA).

## Q2 Council Business Plan Performance 2015/16

Process new housing benefit claims within 20 days in line with North Yorkshire authorities	20 days	25 days	<ul style="list-style-type: none"> <li>■ Both these targets have been impacted by               <ul style="list-style-type: none"> <li>- larger volume of cases processed</li> <li>- staff vacancy from April until mid-July 2015 when a new employee was recruited.</li> <li>- new staff member in training</li> <li>- long-term sickness for the period June / August.</li> </ul> </li> <li>■ In September processing time was reduced to 24 days for both Housing Benefit and Council Tax new claims</li> <li>■ The National Average is 24 days.</li> </ul>
Process new council tax claims within 20 days in line with North Yorkshire authorities	20 days	27 days	<ul style="list-style-type: none"> <li>■ In September processing time was reduced to 24 days for both Housing Benefit and Council Tax new claims</li> <li>■ The National Average is 24 days.</li> </ul>
Process housing benefit changes in circumstance within 7 days in line with North Yorkshire authorities	7 days	6 days	Despite the vacancy and long term sickness (which has now been resolved) changes of circumstance remained above target at 6 days during Q2, the same as in Q1. In the month of September performance was at 5 days which is an improvement on the previous month
Process council tax changes in circumstance within 7 days in line with North Yorkshire authorities	7 days	5 days	Despite the vacancy and long term sickness (which have now been resolved) changes of circumstance remained above target during Q2.
To detect and prevent the amount of housing benefit and council tax fraud & error against a target of £50,000.	£50,000	£72,933	<p>Department for Work &amp; Pensions (DWP) investigations have identified £37,070 of Housing Benefit overpayments and £3,863 in Council Tax Benefit.</p> <p>Council Tax Reduction investigation with Veritau has only recently commenced so no outcomes as yet.</p> <p>Figures for error under the Fraud and Error Reduction Incentive Scheme (FERIS) for Q1 are recorded as £32,000. Figures are notified in arrears and not yet available for Q2.</p> <p>Total as at Q2 is inclusive of Q1 figure.</p>

**Q2 Council Business Plan Performance 2015/16**

<b>Other activity and items of interest for this Priority during Quarter 2</b>	
<b>Revenues &amp; Benefits</b>	<p>Landlord's Forum</p> <p>Supporting residents</p> <ul style="list-style-type: none"> <li>▪ Two members of staff attended the Landlords' forum in September to provide advice and information.</li> <li>▪ Two cases where vigilance by members of staff has helped customers:               <ul style="list-style-type: none"> <li>a) A report of a suspected victim of financial abuse totalling £90,000 has resulted in formal action against the perpetrators</li> <li>b) the award of an unclaimed state benefit going back over a couple of years amounting to £3,500 which removed the need to grant discretionary housing payment and helped customer clear some debts</li> </ul> </li> </ul>
<b>Strategic Housing</b>	<p>Rural Housing Enabler</p> <ul style="list-style-type: none"> <li>▪ Rural Housing Enabler attended Parish Council Meetings at Hutton Rudby (14 Sept 2015) and Kirkby Fleetham (17 Sept 2015)</li> <li>▪ Participated in 'Meeting the Challenge' Rural Housing Enabler sub-regional event Duncumbe Park on 23 Sept 2015</li> </ul> <p>Refugees</p> <ul style="list-style-type: none"> <li>▪ Migration Yorkshire and central Govt reviewing options regarding dispersal of Syrian refugees and asylum seekers; a joint press release was issued with other North Yorkshire local authorities 17 Sept 2015 and a Members briefing held.</li> </ul> <p>Housing Options Team</p> <ul style="list-style-type: none"> <li>▪ Two members of the Housing Options Team participated in Gold Standard National Practitioners Conference 1-2 September 2015 including leading a best practice workshop. HDC awarded Bronze certificate and has now achieved three of the total 10 standards.</li> <li>▪ Re-launched Hambleton's Landlords' Forum 29 Sept 2015</li> </ul> <p>Housing Strategy</p> <ul style="list-style-type: none"> <li>▪ Attended North Yorkshire, York and East Riding Housing Strategy Launch on 14 Sept 2015</li> </ul>

## **HAMBLETON DISTRICT COUNCIL**

**Report To:** Scrutiny Committee  
19 November 2015

**Subject:** HEALTH AND SAFETY QUARTER 2 2015/16

All Wards

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### **1.0 PURPOSE AND BACKGROUND:**

- 1.1 The Health and Safety Annual Report 2014/15 was provided to Scrutiny Committee on 10 September 2015 in accordance with the Council's Health and Safety Policy that was revised in May 2015.
- 1.2 The Health and Safety Policy details the health and safety roles and responsibilities assigned to specific posts and responsibilities within the Council. It includes a section relating to the responsibilities of Elected Members, this extract is attached at Annex A.
- 1.3 With regards to the role of the Scrutiny Committee, within the management of effective health and safety, the proposal is to:
- Provide a copy of the HDC Corporate Health & Safety Plan to be monitored and reviewed on a quarterly basis
  - Provide a copy of the Health & Safety Annual Report to be monitored and reviewed at the end of each year.
- 1.4 The Corporate Health & Safety Action Plan is therefore attached at Annex B. It is split into four sections which detail:
- Plan – Determine health and safety policy and planning for its implementation in Hambleton District Council
  - Do – Delivering Health and safety in Hambleton District Council
  - Check – Measuring health and safety performance in Hambleton District Council
  - Act – Reviewing health & safety performance in Hambleton District Council and acting on lessons learned

### **2.0 LINK TO COUNCIL PRIORITIES:**

- 2.1 The Health and Safety Executive, the enforcement body for Health and Safety, recommends that the Council reports on Health and Safety on a regular basis.

### **3.0 CONCLUSIONS:**

- 3.1 The Council continues to have an on-going emphasis on a sensible, risk-based approach to health and safety which minimises the risks to staff but is also mindful that Council services also need to be delivered in a cost effective. Effective health and safety management can have financial benefits due to reduced sickness absence, lost time and minimised damage to equipment.

### **4.0 RECOMMENDATION:**

- 4.1 It is recommended that the Scrutiny Committee considers the Health and Safety Action Plan at Quarter 2 2015/16.

JUSTIN IVES

Background papers: Health and Safety documents from 2015/16

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Executive Director & Deputy Chief Executive  
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Head of Resources  
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Dominic Passman  
Health & Safety Officer  
North Yorkshire Country Council

191115 Health and Safety Quarter 2 Report



### Extract from the Health and safety Policy – May 2015

This Section details the health and safety roles and responsibilities assigned to specific posts and functions within the Council.

#### **Leader of the District Council**

*The Leader of the District Council ensures that the work of the Cabinet and full Council is conducted in accordance with the District Council's policy and procedures for health and safety and with due regard for relevant statutory provisions.*

#### **Portfolio Holder for Support Services**

*This Portfolio Holder has an individual responsibility for health and safety by acting as the Elected Members' contact point, to ensure that due consideration for health and safety is given when decisions are made. This is to ensure that Cabinet decisions are consistent with this policy and with other District Council policies and procedures, and any relevant statutory provisions.*

#### **Scrutiny Committee**

*The Scrutiny Committee scrutinises the District Council's health and safety performance when appropriate, in accordance with the District Council's framework for corporate governance.*

#### **All Elected Members**

*All Members shall ensure that all the decisions they make are in line with this policy and other District Council policies and procedures. This ensures that they give due regard to health and safety and any relevant statutory provisions. This principle is to be upheld by all committees and during all contacts with employees and members of the public.*

The initials of the person or persons leading the action are first. The initials of persons assisting are in brackets.

Item	Issue	OUTCOME	ACTION	DATE Due by	LEAD RAG	Milestones Achieved Monitoring 0-4 (1-started; 4 - completed)	Resources / Comments
<b>1. PLAN – DETERMINING HEALTH AND SAFETY POLICY AND PLANNING FOR ITS IMPLEMENTATION IN HAMBLETON DISTRICT COUNCIL</b>							
1.1	<b>Health &amp; Safety Policy</b>	Revised health and safety policy developed and adopted	CX/CD to sign and adopt revised policy	05/15	CX (CMT)	4	Signed off by PM 27/5/15
1.2	<b>Planning for Health &amp; Safety</b>	Plans are in place to deliver this plan and any additional health and safety requirements at Directorate/service level	Directorate plans are developed and implemented	05/15	CD HS	4	Sub Group plans in place and being implemented
Page 13	<b>Organising for Health &amp; Safety</b>	Revised health and safety policy communicated ensuring staff and others are aware of the objectives and individuals' responsibilities	Briefings held at all management team meetings	06/15	CD HS	4	Policy communicated through email (HS), first Friday managers meeting, manager briefings, insight article and poster displayed
			Briefing held at first Friday managers meeting	06/15	DP	4	
			Health and safety to be incorporated in appraisal process	06/15	CD HS (HR H&S)	2	May still need to be progressed
1.4	<b>Measuring Health &amp; Safety</b>	Clear approach to the measurement of health and safety performance	Agree how health and safety performance will be measured.	10/15	HSG	2	HSG to agree (Include delivery of plans, H&S policy objectives and accident data)
1.5	<b>Emergency arrangements and co-ordination and co-operation with others who share our workplaces</b>	Emergency procedures are in place for all property and protocols are in place for co-operation and co-ordination with other employers sharing HDC properties	Review and test procedures in place to cover all significant emergencies (e.g. Fire, asbestos release, gas release, power cut etc.)	10/15	HS PM (D&M)	2	Sub Groups to address. On-going revision of fire procedures.  Draft fire safety management arrangement on HSG agenda 19/8/15
			Communicate and co-ordinate emergency	10/15	HS PM (D&M)	2	

Item	Issue	OUTCOME	ACTION	DATE Due by	LEAD	Milestones Achieved Monitoring 0-4 (1-started; 4 - completed)	Resources / Comments
			procedures with other occupiers of property		RAG		
1.6	Planning for changes in HDC and new legal requirements that apply to HDC	HDC is aware of all legal requirements affecting health and safety for their operations, including any new or revised requirements  Health and safety is considered during changes to HDC services where there could be significant impact on health and safety.	Develop a health and safety legal register and update every April and October as new/revised legislation comes into force  Identify significant changes, assess health and safety implications and implement change management plan.	06/15  10/15 04/16 10/16  On-going	DP  DP DP DP  CD HS	2      2	Draft register on HSG agenda 19/8/15  Link to risk registers and reports to CMT and Council.  On-going

## 2. DO – DELIVERING HEALTH AND SAFETY IN HAMBLETON DISTRICT COUNCIL

Page 17	Leading Health & Safety at work	Strong and effective leadership of health and safety within HDC	Corporate Directors to review their health and safety leadership actions with their Heads of Service using the IOD/HSE 'Leading health and safety at work' guidance	10/15	CD HS (H&S)	2	LGA Local Authority Effective Leadership Evaluation Matrix used by CDs and HS Link to risk assessment programmes and monitoring.
2.1			Implement system to ensure escalation of risk to enable specific leadership actions to be considered and delivered.	06/15	CD HS (H&S)	4	In place through line manager to Head of Service to CD
2.2	Risk assessment programme	All significant health and safety risks are assessed in all services, with an annual review carried out	All service areas have a risk assessment programme that ensures all significant risks are assessed and reviewed in last 12 months	On-going	HS SM (H&S)	2	Sub-groups to lead
		Model office health and safety	Develop a model risk	10/15	DP	1	Initial discussions held at

Item	Issue	OUTCOME	ACTION	DATE Due by	LEAD RAG	Milestones Achieved Monitoring 0-4 (1-started; 4 - completed)	Resources / Comments
		risk assessment developed for implementation in lower risk service areas	assessment for implementation in office services in HDC.		LBW		Support Services Sub group.
		Fire safety risk assessment in place for all workplaces, with an annual review carried out	Actions from Fire safety risk assessments being implemented in all workplaces with reviews conducted in last 12 months	On-going	HS PM (D&M H&S)	2	Fire risk assessment review dates to be scheduled
		Asbestos management plans (AMP) are in place for all workplaces with an annual review carried out.	Actions from AMP being implemented in all workplaces with reviews conducted in last 12 months.	On-going	HS PM (D&M H&S)	2	New asbestos management arrangement under discussion
		Legionella risk assessments in place for all workplaces, with an annual review carried out.	Actions from Legionella risk assessments being implemented in all workplaces with reviews conducted in last 12 months	On-going	HS PM (D&M H&S)	2	New legionella management arrangement agreed, Consultant to be engaged
	<b>Employee engagement and communications</b>	Employees are involved in risk assessments and decisions about H&S that affect them	Implement a system to engage employees in the risk assessment review process and implementation of H&S arrangements in their service area.	On-going	HS SM	1	Make use of staff survey to assess employee engagement in health and safety Leisure involving employees more
	<b>Health &amp; Safety arrangements</b>	Revised existing set of health and safety arrangements.	Review progress made against the health and safety arrangements review programme.	10/15	Jl (H&S D&M HR)	2	Refer to existing procedure review programme. Establishment of a Safeguarding panel.
		Development of a documented safety management system	Conduct a gap analysis of the current safety management system.	10/15	H&S	1	
			Establish priority based programme for the	10/15	Jl (H&S)		

Item	Issue	OUTCOME	ACTION	DATE Due by	LEAD RAG	Milestones Achieved Monitoring 0-4 (1-started; 4 - completed)	Resources / Comments
			development of a documented safety management system		D&M HR)		
		Development and implementation of revised safeguarding arrangements	Review and update safeguarding arrangements	10/15	SL (HS)		
2.5	<b>Provision and maintenance of safe premises and equipment</b>	Premises and equipment are maintained in a safe condition	Ensure a suitable inspection and maintenance programme is in place to ensure safe premises and equipment, which is subject to a dip sample.	On-going LBW to agree dates	D&M PM (H&S)	2	D&M to lead and report to Support Services sub group Procurement on-going
		All works are carried out by competent contractors in a safe manner	Ensure suitable contractor management arrangements are in place, which is subject to a dip sample.	On-going LBW to agree dates	D&M PM (H&S)	2	Procurement on-going contractors being monitored
2.6	<b>Employee competence</b>	All employees are competent to carry out their work safely and have adequate supervision	Conduct a health and safety training needs analysis in each service.  Deliver the outcomes from the health and safety training needs analysis.	10/15 onwards	HS SM (H&S HR)	1	Support from HR training function HS training matrix Training delivered in CDM and Contractor Management March/April 2015
2.7	<b>Access competent advice on Health &amp; Safety</b>	Comply with Management at Work Regulations and provide health and safety advisory service across HDC	Ensure competent advisory service is in place  Ensure all directorates have access to competent advice	On-going	JL (H&S)	4	SLA in place with NYCC till September 2016
<b>3. CHECK – MEASURING HEALTH AND SAFETY PERFORMANCE IN HAMBLETON DISTRICT COUNCIL</b>							
3.1	<b>Inspection and monitoring</b>	Assessment of how well plans are being implemented, HS Policy objectives achieved and	Establish inspection monitoring programme commensurate with risks	09/15	HS SM PM (H&S)	0	Report in to HSG

Item	Issue	OUTCOME	ACTION	DATE Due by	LEAD	Milestones Achieved Monitoring 0-4 (1-started; 4 - completed)	Resources / Comments
		risks controlled	in premises/services Collect data from inspection/monitoring to help review performance	From 09/15	HS SM (H&S)		
3.2	Accidents, incidents and near misses	Ensure investigation of the causes of all accidents, incidents and near misses	All accidents, incidents and near misses to be investigated by manager and findings reported to Head of Service	On-going	HS SM (H&S)	2	Report in to HSG
3.3	Health & Safety auditing	HDC approach to health and safety auditing developed	Develop common approach to health and safety auditing in HDC	10/15	Jl HS H&S	1	HSG to consider via a task and finish group (consider external audit) Approach in Leisure being developed Aug2015
<b>4. ACT – REVIEWING HEALTH AND SAFETY PERFORMANCE IN HAMBLETON DISTRICT COUNCIL AND ACTING ON LESSONS LEARNED</b>							
4.1	Health & Safety performance	Health and safety performance reviewed and reported	Review health and safety performance against plans, objectives and H&S arrangements.  Report on health and safety performance	05/15 05/16  06/15 06/16	Jl CD HS (H&S)  Jl (H&S)	4  4	2014/15 report to MT 20/5/15 and Scrutiny 2015/16 Q1 report 8/15 On-going reports to HSG and sub-groups  Annual H&S report to CMT and Scrutiny Committee
4.2	Continuous improvement	Improvements made to the health and safety management system	Agree actions to improve the health and safety management system  Review corporate health and safety plan	06/15  06/15 06/16	Jl CD HS (H&S)  Jl H&S	4  4 0	Incorporated in this plan and sub-group plans

Abbreviations **CX** Chief Executive **CD** Corporate Directors **Jl** Justin Ives **DP** Dominic Passman **HS** Heads of Service **SM** Service Managers **PM** Premises Managers  
**CMT** Corporate Management Team **HSG** Health & Safety Group **H&S** Health & Safety Team **D&M** Design & Maintenance Team **HR** Human Resources

## HAMBLETON DISTRICT COUNCIL

**Report to:** Scrutiny Committee  
19 November 2015

**Subject:** REVIEW OF RISK MANAGEMENT

All Wards

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### **1.0 PURPOSE AND BACKGROUND:**

- 1.1 The Council has a robust risk management process in place which includes a comprehensive risk register. The risk register is divided into operational and strategic risks; operational risks are those affecting individual services and tend to involve the day to day running of those services, whilst strategic risks affect the whole Council and are wide reaching, both in terms of timescales and impact.
- 1.2 The operational risks are reviewed by each service on a quarterly basis to reflect upon their appropriateness and the adequacy of the mitigation. Strategic risks and high level operational risks are also reviewed by Management Team and Heads of Service.
- 1.3 To ensure that strategic risks are appropriately measured and that suitable actions are undertaken to mitigate the effect of each risk, Scrutiny Committee will receive a quarterly report to monitor the strategic risks affecting the Council. Audit, Governance and Standards Committee will receive reports on strategic risks only if a change occurs on an adhoc basis.
- 1.4 The current list of strategic risks together with their score and mitigating actions are presented in Annex 'A'.

### **2.0 RISK MANAGEMENT:**

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

### **3.0 RECOMMENDATIONS:**

- 3.1 It is recommended that the Committee review and note the strategic risks affecting the Council and the actions that are in place to mitigate the impact upon the Council of each risk.

JUSTIN IVES

**Background Papers:** Annual Review of the Risk Management Strategy – Audit  
Department Quarterly Risk Register Review

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191115 Review of Risk Management

## Strategic Risks 2015-16 Q2

Risk ID	Risk Name	Mandatory (cannot be closed)	Org Level	Risk Category	Likelihood : Impact	Score	Risk Level	Service	Risk Manager	Action Plan
394	The Shared Services exit strategy needs to take account of difficulties faced when separating individual shared services to avoid unexpected cost and complications to both councils.		Strat	Customer / Citizen, Reputational	5x5	25	High	Corporate Finance	Phil Morton	Programme of repatriation and SLAs. Case by case examination of costs and impact – 1 SLA remain. Disabled Facility Grants (DFG) administration until 29 February 2016.
227	Unable to access HDC services due to ineffective individual business continuity plans leading to loss of service.		Strat	Partnership/ Contractual, Customer/Citizen , Economic, Environmental, Financial, Health & Safety, Legal, Reputational, Social	4x5	20	High	Cust-Service & Comms	Dave Goodwin	Following recent audit and working with Veritau an action plan to refresh the Council's BCP at corporate and service level has been identified. This will include, review and challenge of business continuity plans, including risks and targets; provide training to increase understanding of BCP/DR and to clarify responsibilities for MT, HoS and Section Managers; produce a schedule for authorising, testing and reviewing BCPs and DR. Complete an internal review of services, risks and agree operational importance to inform BCPs, updating risk register as appropriate. Review and agree BCP support with NYCC. Timeline for delivery is in development.
617	The operation of Waste Management does not support opportunities for an improved service, failing to achieve the anticipated benefits of improved recycling, customer satisfaction, Health & Safety and cost efficiencies.		Strat	Waste & Scene	4x5	20	High	Waste & Scene	Gary Brown	Engage technical expert support to undertake detailed modelling and options appraisal for the Council so that decisions taken on future service design are in the best interests of the Council & tax payers
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 New Homes Bonus & Council Tax receipts.		Strat	Reputational	5x3	15	High	Planning	Mark Harbottle	Maintain an up to date set of LDF documents. Monitor progress and review LDS. Completion of LDF Policy Review is a priority and new Local Plan commencing April 2015. Use of consultants to assist. Also work closely with developers to bring sites forward. Regular performance monitoring and good project management.
618	The Council is not prepared for future developments that will impact on Waste Management such as increased dwelling stock, changes to Waste Regulations and Allerton Waste Recovery Park, leaving Council exposed to higher costs for its waste management services; failure to follow a process that demonstrates regulatory compliance also puts the Council at risk of challenge.		Strat	Waste & Scene	3x5	15	High	Waste & Scene	Gary Brown	These aspects will form part of the project brief to mitigate as far as possible these risks to the Council
616	Full costs of the WaSS project procurement elements fall to the Council due to lack of partner participation, leading to increased costs and reduced benefits from economies of scale that could be achieved from higher relative dry recycle tonnages		Strat	Waste & Scene	3x5	15	High	Waste & Scene	Gary Brown	Head of Environmental Services to take an early lead and advocate the benefits of a joint procurement approach through the regular Waste Partnership meetings.
416	Significant reductions in government grant leading to the inability to sustain council services at the current level.		Strat	Financial, Reputational	3x4	12	High	Corporate Finance	Justin Ives	An on-going programme of service delivery and saving reviews that ensures best value is being achieved and income is maximised.
423	Health of local housing market leads to reduced ability to deliver affordable housing through planning, resulting in failure to achieve corporate plan target and to address housing need		Strat	Customer / Citizen, Reputational, Social	3x4	12	High	Strategic Housing	Sue Walters- Thompson	Affordable housing targets and thresholds to be reviewed as part of work on new Local Plan. RHE focus on delivery via exception sites that are not reliant on market
600	The introduction of Universal Credit and transfer to DWP payments leads to a likely reduction in Govt admin grant revenue.		Strat	Financial	4x3	12	High	Revenues & Benefits	Louise Branford- White	Closely monitor developments to gauge rollout timing & impact; employ project planning & close budget monitoring.
615	Cancellation of Bedale Gateway Car Park project leads to long-term damage to local economy through loss of visitors and trade.		Strat	Economic, Reputational	3x4	12	High	Design & Maintenance (incl Public Lighting) Planning	Clive Thornton	Risk assessment reported to Cabinet 2 Dec 2014. The risk remains until the Bedale / Learning Bar bypass is constructed and Council has reviewed the need for a Gateway Car Park, timescale end 2016
81	Financial double drop recession/further credit crunch and further legislative change leads to fewer planning applications and therefore reduced income		Strat	Financial	5x2	10	Med	Planning	Mark Harbottle	Regular budget monitoring and reporting of the position.
443	Failure to implement the Council's Information Strategy leads to violation of Data Protection Act resulting in possible fine by the Information Commissioner and/or failure to make decisions leading to legal challenge	M	Strat	Customer / Citizen, Financial, Legal, Reputational	3x3	9	Med	ICT (inc. Reprographics)	Justin Ives	Existing action plan and information strategy being reviewed, includes: Policies being updated & redistributed; published on Hint; All staff retrained on Data Protection, Members training sessions



## Strategic Risks 2015-16 Q2

Risk ID	Risk Name	Mandatory (cannot be closed)	Org Level	Risk Category	Likelihood : Impact	Score	Risk Level	Service	Risk Manager	Action Plan
556	Ministerial Statement 28 Nov 2014 amending & extending Section 106 planning obligations, reduces ability to secure affordable housing on small sites.		Strat	Customer/Citizen	3x3	9	Med	Strategic Housing	Sue Walters-Thompson	Cabinet approved adoption of lower threshold for Designated Rural Areas of Hambleton in June 2015 to maximise opportunities for affordable housing provision. However, Govt policy since found to be unlawful and legal advice is now being sought.
139	Failure of the Safer Hambleton Local Delivery Group leads to non-compliance with statutory regulations		Strat	Legal	2x4	8	Med	Business & Economy	Heleen Kemp	Review effectiveness of plan and partnership during Feb 2015.
383	Failure to review and update emergency plans leads to inadequate response.		Strat	Customer/Citizen, Financial, Reputational	2x4	8	Med	Cust Services & Comms	Dave Goodwin	HDC to maintain review process with NYCC Emergency Team
388	Lack of investment in ICT infrastructure causes inability to maintain systems leading to inability to deliver services effectively.		Strat	Economic, Reputational	2x4	8	Med	ICT (inc. Reographics)	Justin Ives	The Capital programme for investment in ICT infrastructure has been reviewed.
392	Failure to effectively manage the transition from a single Shared ICT service into separate HDC ICT services and current lack of resource leads to negative impact on service delivery.		Strat	Customer / Citizen, Financial, Health & Safety, Reputational	2x4	8	Med	ICT (inc. Reographics)	Justin Ives	A project has been developed to manage transition. Appropriate resources have been assigned.
461	Failure to implement the Councils Equalities and Diversity Policy leads to potential discrimination and legal action which could have adverse publicity and fines to the Council		Strat	Legal, Reputational	2x4	8	Med	Corporate Finance	Saskia Calton	Develop and deliver training to all staff by end March 2015.
225	Failure to manage Capital Programme leading to inability to deliver Council Services efficiently and effectively		Strat	Financial, Reputational	2x3	6	Med	Corporate Finance	Justin Ives	Monthly review and management of Capital Programme
619	Partner(s) pulling out during the affordable homes programme and/or completion of fewer homes than expected increasing the unit cost and some providers reaching the 'cap', leading to potential shortfall in contribution		Strat	Partnership/ Contractual, Customer/Citizen, Reputational	2x3	6	Med	Strategic Housing	Sue Walters-Thompson	Funding partners signing up to a formal 3-year SLA with option to leave with 12 mths notice; scope to generate more income through increased consultancy work and/or widen the programme to East riding to secure further funding through LEP will be investigated.
78	Accident/incident involving staff whilst on site leads to work backlog and possible insurance claim against the Council		Strat	Health & Safety	1x4	4	Low	Planning	Mark Harbottle	Site visit protocols, appropriate training and issue PPE.
377	Failure to ensure that Risk Management is undertaken results in failure to manage risks resulting in negative outcome for the Council.		Strat	Customer / Citizen, Reputational	1x4	4	Med	Corporate Finance	Louise Branford-White	Annual review of Risk Management Guide including feedback from insurance broker on suitability of process and contents of register.
466	Failure of the Environmental Health SLA leads to a failure of service delivery resulting to a loss of service to the public and the council needing to identify a new way of providing this service	M	Strat	Customer / Citizen, Environmental, Health & Safety, Reputational	1x4	4	Low	Environmental Health	Mick Jewitt	Maintenance of robust management processes to ensure satisfactory service delivery in both Districts
142	Failure of Veritau Audit Partnership resulting in loss of internal audit coverage at Hambleton leading to potential exposure to risk		Strat	Partnership/ Contractual	1x2	2	Low	Corporate Finance	Justin Ives	Option to bring the service back in-house
522	Failure of the Council's website 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.	M	Strat	Customer/Citizen, Financial, Legal, Reputational	1x2	2	Low	Cust Services & Comms	Sandra Hall	Website hosted and supported offsite to minimise risk.

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