

**AGENDA**

Committee Administrator: Democratic Services Officer (01609 767015)

Wednesday, 9 November 2016

Dear Councillor

**NOTICE OF MEETING**

Meeting **SCRUTINY COMMITTEE**  
Date **Thursday, 17 November 2016**  
Time **9.30 am**  
Venue **Main Committee Room, Civic Centre, Stone Cross, Northallerton, DL6 2UU**

Yours sincerely

*J. Ives.*

Dr Justin Ives  
Chief Executive

<b>To:</b>	Councillors	Councillors
	S P Dickins (Chairman)	D Hugill
	Mrs C S Cookman (Vice-Chairman)	Ms C Palmer
	M A Barningham	Mrs I Sanderson
	G W Ellis	A Wake
	C A Dickinson	D A Webster
	R W Hudson	

Other Members of the Council for information

## **AGENDA**

### **Page No**

1. MINUTES  
To confirm the minutes of the meeting held on 20 October 2016 (SC.16 - SC.20), previously circulated.
2. APOLOGIES FOR ABSENCE
3. COUNCIL PERFORMANCE 2016/17 (QUARTER 2) 1 - 18  
Report of the Chief Executive
4. REVIEW OF RISK MANAGEMENT 19 - 24  
Report of the Director of Finance (s151 Officer) (Acting)
5. POLICY REVIEW - HEALTH AND SAFETY 25 - 28  
Report of the Chairman
6. POLICY REVIEW - CIVIL PARKING ENFORCEMENT 29 - 36  
Report of the Chairman
7. 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  
17 November 2016

**Subject:** COUNCIL PERFORMANCE 2016/17 (QUARTER 2)

All Wards

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

- 1.1 The revised Council Plan for 2015-2019 was adopted at Council on 13 September 2016.
- 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 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 2016/17 Quarter 2.
- 1.4 Progress is reported on a cumulative year-to-date basis, with actual results achieved during Q2 also provided to enable comprehensive review.
- 1.5 The public has access to this information through these quarterly performance reports.
- 1.6 The Council's Performance and Risks are also reported quarterly to the 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, 71.43% or 25 KPIs performed on or above target at Quarter 2.
- 2.3 Of the KPIs successfully meeting their targets, the following three achieved notable progress:

#### **2.3.1 Facilitate 15 graduates into Hambleton businesses by April 2107 through the Graduate Scheme**

Target Q2 = 5, Actual = 7

Continuing to publicize this scheme and seven applications have been approved, five of which have applicants in place.

Profiled to achieved target over the year as Q1 = 0, Q2 = 5, Q3 = 5 and Q4 = 5 to reflect the academic year

#### **2.3.2 Achieve £2.69m of leisure centre income**

Target Q2 = 1.28m, Actual at Q2 = £1.34m

Income is above target. Directly linked to key products including a higher Health & Fitness membership base.

(EST) Profile of income target Q1= £619K, Q2= £662K, Q3 = £620K, Q4 = £787K.

### 2.3.3 Deliver a total of 20 affordable homes in rural locations

Target at Q2 = 10, Actual at Q2 = 37 homes.

The target of 20 affordable homes in rural locations for the full year has been substantially exceeded with a further 12 homes completed in Q2 – 6 units in both Stillington and Leeming Bar.

## 2.4 The KPIs not meeting their target at Q2 are:

### 2.4.1 To achieve the national indicator by increasing the number of major planning applications determined within 8 weeks, or as agreed with the applicant to 85%

Target YTD at Q2 = 80%, YTD at Q2 = 70% [actuals 14/20]

Actual at Q2 = 100%

Q1 performance was largely affected by refusal of applications challenging the Council's position on 5 year housing supply. Closer monitoring and management procedures have resulted in significant improvement in Q2.

### 2.4.2 Achieve 600 referrals signed up to Take that Step programme

Target at Q2 = 300, Actual at Q2 = 281

YTD at Q2 = 281

Very challenging targets based upon the funding Memorandum of Understanding with North Yorkshire County Council Public Health and Hambleton, Richmondshire & Whitby Care Commissioning Group (CCG). Closely monitor in Q3.

Await clarification on withdrawal of CCG funding.

### 2.4.3 Ensure compliance with the food hygiene inspection programme

Target at Q2 = 79%, Actual at Q2 = 69% [actuals 80/116]

YTD at Q2 = 70% [actuals 139/199]

This is a new KPI for 2016/17 for which a more accurate method of calculation has been developed since Q1 figures were reported. The results and profile for the year are consequently being restated with effect from Q2.

The revised profile takes into account the full range of inspections conducted and therefore more accurately represents the work undertaken to ensure compliance.

Whilst the target for the year remains at 79% of premises inspected, this is now based on a revised profile of 317 out of 400 actual inspections (originally 251/317).

Profile 2016/17 : Q1 - 83, Q2 - 116, Q3 - 107, Q4 – 94

### 2.4.4 Ensure compliance with the private water supply risk assessment programme

Annual Target – 95% Actual Q2 – 90% [actuals 9/10]

YTD at Q2 – 90% [actuals 9/10]

A manual programme for Private Water Supply (PWS) risk assessments has been developed for the next 5 years. We are in the second 5 year phrase since the legislation was implemented but we have not yet achieved the work required in the first 5 year phase.

The program will ensure that all risk assessments will be completed and reviewed before 31/12/20 which will mean we will have improved to be within 3 years of the due date. However, changes to legislation recently have increased the risk assessment expectation.

2.4.5 To achieve a minimum customer satisfaction rating of 90% for the Council's waste collection service.

Target Q2 - 90% Actual Q2 – 81%

YTD at Q2 – 80%

Comprehensive survey to be run during 2018, once the new recycling and green waste arrangements have become established.

Until then GovMetric data will be reported, however it should be noted that this detail is not representative of the service as a whole.

Performance down due to poor Web satisfaction rates in April 28%, May 81%, June 46%. Q2 result July 76%, August 86%, Sept 73%

2.4.6 Deliver an effective and efficient refuse and recycling collection service by completing the three stages of route optimisation by December 2016

Target 100% by Dec 2016 Actual Q2 - 5%

YTD at Q2 – 30% (Stage 1 / 2)

Stage 1- integration of all domestic properties onto kerbside recycling service... complete (25%)

Stage 2- actual data verification, production of optimised rounds including operator dry run... (25%) awaiting mapping, 1 round draft, dry run to be undertaken

Stage 3- implementation of new rounds including communications with interested parties... not started (50%).

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

Target Q2 – 20 days Actual Q2 – 26.39 days

YTD at Q2 – 22.54 days

Staff vacancies have occurred in Q2 which was further impacted by the difficulty in being able to contract agency staff.

The introduction of Universal Credit has impacted on performance as customers are unable to inform the authority of the necessary information for a period of 30 days, due to DWP processing times for customers receiving notification of their entitlement.

This is being actively monitored.

2.4.8 To detect and prevent the amount of Housing Benefit and Council Tax fraud against a target of £50,000

Annual Target - £50K Actual at Q2 - £00.00

YTD at Q2 - £16.83

This target has been set at £50k with the expectation that fraud and error would be identified from the areas of council tax and limited housing benefit.

Veritau holds the Council's contract for investigating fraud in these areas and the contract has been running for a year from September 2015 to September 2016. An investigation is currently underway as to why the fraud and error detection has fallen significantly below target whilst this area has been outsourced.

Further information will be provided at Quarter 3.

### **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'.

LOUISE BRANFORD-WHITE  
DIRECTOR OF FINANCE (S151 OFFICER) ACTING

Background papers: Management Team Report 2016/17 Quarter 2

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## **Council Performance Quarter 2 1 April – 30 June 2016**

This report provides information on performance towards the Council Business Plan Priorities for the second quarter of 2016/17, as reported to the Extended Management Team on 1 November 2016.

### **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>	<b>Indicator</b>	<b>Outcome:</b>	<b>Target / Benchmark</b>	<b>Quarter 2</b>	<b>YTD</b>	<b>Q2 Actions / Comment</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>		<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 new Local Plan</li> </ul>				
Facilitate 25 young people into local small businesses by April 2017 through Apprenticeships			25	13	25	Approved applications. Of these 14 businesses have apprentices in place and we are waiting 11 to confirm appointment of their apprentices.
Facilitate 15 graduates into Hambleton businesses by April 2017 through the Graduate Scheme			15	7	7	Continuing to publicize this scheme and 7 applications have been approved and 5 of these have applicants in place. Profiled to achieved target over the year as Q1 = 0, Q2 = 5, Q3 = 5 and Q4 = 5 to reflect the academic year
Delivery of 14 projects in the Economic Strategy by March 2017			14	3	14	All 14 projects identified for delivery in 2016/17; 11 are in progress. This includes approval of 2 posts to support the delivery of the Vibrant Market Towns work, support for 12 small businesses to subscribe to the Federation of Small Businesses. North Northallerton Section 106 finalised and signed by all land owners and project timetable developed with a start on site January 2017. Business Improvement District for Northallerton – Ballot company appointed. Work on reviewing Inward Investment and Industrial Estates Action Plan.



Indicator	Target / Benchmark	Quarter 2	YTD	Q2 Actions / Comment
To achieve a level of Business Rate collection of 98%	98%	25.37%	60.75%	On track. Cumulative % reported only.
To achieve a level of Council Tax collection of 98%	98%	28.48%	59.08%	On track. Cumulative % reported only.
To ensure the actual amount of Business Rates collected against the budget is £27.4m in 2016/17	£27.4m	£7,278,136	£17,453,837	The target is based on the estimate of rates to be collected.
To achieve the national indicator by increasing the number of major planning applications determined within 13 weeks, or as agreed with the applicant, to 80%	80%	100% [8 of 8]	70% [14 of 20]	Q1 performance was largely affected by refusal of applications challenging the Council's position on 5 year housing supply. Closer monitoring and management procedures have resulted in significant improvement in Q2
To achieve the national indicator by increasing the number of minor planning applications determined within 8 weeks, or as agreed with the applicant, to 85%	85%	89.6% [121 of 135]	84% [216 of 257]	Q1 performance affected by turn-over of staff and delayed cases due to changes in Government policy. Closer monitoring and management have resulted in significant improvement in Q2 despite staff turn-over and reliance on temporary staff
To achieve 80% success rate in defending appeals where major developments are refused planning permission	80%	100% [0/0]	100% [0/0]	No appeal decisions in respect of major development and therefore no scope for overturns.

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Other activity and items of interest for this Priority during Quarter 2	
<b>Planning</b>	<ul style="list-style-type: none"> <li>▪ "Building on Shifting Sands" event organised by Amanda Madden with Kevin Holinrake MP and Lord Best presenting. Attended by Planning Policy and Development Management officers.</li> <li>▪ Agent's Forum. Training session and feedback from Planning Agents with a view to service improvements.</li> </ul>
<b>Business &amp; Economy</b>	In Q2 we have had 17 more small businesses sign up for the scheme, making a total of 29 for the year so far.
<b>Stokesley Wi-Fi</b>	A joint Wayleave Agreement was requested by CO-OP and Landlord. Awaiting comments from CO-OP legal team. Wayleave Agreement from Devereux has been returned to Stokesley Parish Council signed by the landlord.
<b>Broadband</b>	Meeting to be arranged with BT to progress solution at Dalton in line with Bridge works.

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

<p><b>Business &amp; Economy</b></p>	<p><b>Dalton Bridge – key areas of activity</b></p>	<ul style="list-style-type: none"> <li>▪ Manage design consultants, review tender documents, deal with compensation events, financial and programme control</li> <li>▪ Review loan agreement and deed of grant ensure it still meets business and HDC objectives</li> <li>▪ Meet with utility companies, prepare utilities strategy and co-ordinate with utility companies necessary diversions</li> <li>▪ Review construction cost plan, ensure scheme delivery can be achieved within budget</li> <li>▪ Prepare and Submit Project Assessment Report to the Environment Agency to secure £385,000 of funding</li> <li>▪ Meet all the contractors on NYCC framework, brief them about the Dalton Scheme</li> <li>▪ Continue to work with Cleveland Steel and Tube to secure the land needed to build the scheme</li> <li>▪ Review LEP funding conditions, attend NYCC Executive to witness acceptance of LEP grant for £1.8m</li> <li>▪ Secure sign off from NYCC to future highway maintenance liabilities</li> <li>▪ Manage the interfaces with NYCC, work with officers of NYCC to ensure satisfactory preparation of the construction contract and technical sign off of our consultants design.</li> <li>▪ Manage BID Ballot process, secure positive ballot outcome; review BIDco Articles of Association</li> <li>▪ Provide support to a major inward investor at Dalton and facilitate the inclusion of infrastructure works into the Dalton Bridge and Highway Scheme.</li> <li>▪ Prepare the NYCC Gateway Review documentation; review NYCC Section 278 Agreement and co-ordinate inputs from businesses</li> <li>▪ Prepare land licences to allow access to working space during construction</li> <li>▪ Prepare for handover of the project to NYCC to manage the construction phases</li> </ul>
<p><b>Funding Support</b></p>		<ul style="list-style-type: none"> <li>▪ Attending Grant Committee meetings</li> <li>▪ Conducted a Grade II Listed Building At Risk survey on Leeming Bar Station House, with WRA's Property Manager and wrote subsequent report on this</li> <li>▪ Met with Support Officer for Architectural Heritage Fund to discuss suitable funding options for Leeming Bar Station House</li> <li>▪ Working closely with Virginia Arrowsmith (Education Officer for WRA) to design a heritage project for L Bar Station House (WRA's aspirations for this have changed several times) to present to HLF for possible support</li> <li>▪ Attended further meeting with Darlington College Curriculum Leaders to discuss collaborations around Marketing, Web Design and Construction</li> <li>▪ Working closely with David Walker to design catering facilities project (WRA's aspirations for this have changed several times) – applying for PTC funding to deliver</li> <li>▪ Putting together presentations for local Parish and Town Councils in an attempt to build community 'buy-in' for proposed projects</li> </ul>

## PRIORITY – Enhancing Health & Wellbeing

Purpose:	Outcome:	Indicator	Target / Benchmark	Quarter 2	YTD	Q2 Actions / Comment
<ul style="list-style-type: none"> <li>- Improve the health and wellbeing of people by providing and supporting community inclusive facilities, activities, events and interventions</li> <li>- To protect consumers from health risks relating to hazardous food, drink and waters supplies.</li> <li>- To protect residents from hazardous conditions in privately rented housing.</li> </ul>	<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> <li>- Improved standard of hygiene in food businesses</li> <li>- Reduced health risk due to non-compliant private water supplies</li> <li>- Improved quality of private rented sector housing</li> </ul>	To achieve and average health & fitness membership base of 2,645	2,645	2,719	2,719	Operating above target. Q2 achieved monthly sales targets. The profile for Health & Fitness memberships fluctuates throughout the year; the target for March 2017 is 2,708. We anticipate drop-off between now and Dec '16 and growth Jan to March 2017. Our membership base is 151 higher than this time last year.
Achieve £2.69m of leisure centre income			£2.69m	£1.34m	£1.961m	Income is above target. Directly linked to key products including a higher Health & Fitness membership base. (EST) Profile of income target Q1= £619K, Q2= £662K, Q3 = £620K, Q4 = £787K.
To achieve 2,590 junior members on the 'Learn2 Swim' programme			2,590	2,602	2,602	All centres performing above average, had a slight dip on learner numbers over the summer holidays

Indicator	Target / Benchmark	Quarter 2	YTD	Q2 Actions / Comment
Enable 500 targeted people to participate in new activities or initiatives offered from community venues	500	476	685	Celebration of Dance – 35; Multi-Sport – 13; Boccia – 12; Primetime – 103; Park Run – 198; Sports Clubs – 19; Sporting memories – 43; Running Clubs (Stokesley and Easingwold) 19; Ability Day – 20; TriClub – 34 Some events are seasonal with more take up in the summer therefore profile for the year is Q1 = 75, Q2 = 175, Q3 = 175 and Q4 = 75.
Achieve 600 referrals signed up to Take That Step programme	600	141	281	Very challenging targets based upon the funding Memorandum of Understanding with North Yorkshire County Council Public Health and Hambleton, Richmondshire & Whitby Care Commissioning Group (CCG). Closely monitor in Q3. Await clarification on withdrawal of CCG funding.
Allocate £175,000 to sustainable community initiatives	£175,000	£49,014	£49,014	Small grant scheme - £50k fund; Making a Difference Grants - £125k fund. Close to target - no long term concerns. Profile of funding Q1 = £49K, Q2 = £0K, Q3 = £125K and Q4 = £1K.
Ensure that 90% of Section 106 funds are allocated at any given time	90%	98.7% [£26,375.20 allocated / £1,660.10 received]	98.7% [£2,814,285.22 allocated / £2,849,682.10 received]	Includes amounts allocated from total fund received cumulatively since 2012

Indicator	Target / Benchmark	Quarter 2	YTD	Q2 Actions / Comment
Ensure compliance with the food hygiene inspection programme	79% [251/317 premises inspected] revised to [317 / 400 ] from Q2	69% [80/116]	70% [139/199]	This is a new KPI for 2016/17 for which a more accurate method of calculation has been developed since Q1 figures were reported. The results and profile for the year are consequently being restated with effect from Q2. The revised profile takes into account the full range of inspections conducted and therefore more accurately represents the work undertaken to ensure compliance. Whilst the target for the year remains at 79% of premises inspected, this is now based on a revised profile of 317 out of 400 actual inspections (originally 251/317). Profile 2016/17 : Q1 - 83, Q2 - 116, Q3 - 107, Q4 - 94
Ensure compliance with the private water supply risk assessment programme	95%	90% [9/10]	90% [9/10]	A manual programme for Private Water Supply (PWS) risk assessments has been developed for the next 5 years. We are in the second 5 year phase since the legislation was implemented but we have not yet achieved the work required in the first 5 year phase. The program will ensure that all risk assessments will be completed and reviewed before 31/12/20 which will mean we will have improved to be within 3 years of the due date. However, changes to legislation recently have increased the risk assessment expectation.
Achieve 100% resolution of complaints on private sector housing serious health hazard within response date agreed with the landlord	90%	7 resolved (100%)	7 resolved (100%)	

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

<b>Environmental Health</b>	<b>Public Health Burials</b>	Procurement exercise for funeral director completed and preferred contractor appointed.
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<b>Other activity and items of interest for this Priority during Quarter 2</b>	
	Landlords Forum attended and briefing note given on Legionnaires' Risk Assessment requirement.
<b>Environmental Health</b>	Contractor recruited to carry out outstanding food hygiene inspections.
	Reviews in progress relating to food inspection, cosmetic piercing, caravan site licensing, private water supplies and air quality monitoring.
	Safety Advisory Group meetings were held in relation to a proposed N-Fest in Northallerton and a proposed garden party in Lenthor Farm, Brompton.
	Environmental noise monitoring carried out over 12 days regarding a planning application for an extension to Ripon Quarry. This has been the subject of ongoing noise complaints regarding failure to meet existing planning conditions.
<b>Leisure &amp; Communities</b>	Seven community consultations were supported by the team
	Working with Sports England on a funded project aimed at increasing levels of participation in swimming

## 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</b>	<b>YTD</b>	<b>Q2 Actions / Comment</b>
To achieve a minimum customer satisfaction rating of 90% for Council's waste collection service.	90%	81%	80%	Comprehensive survey to be run during 2018 once the new recycling and green waste arrangements have become established. Until then GovMetric data will be reported, however it should be noted that this detail is not representative of the service as a whole. Performance down due to poor Web satisfaction rates in April 28%, May 81%, June 46%. Q2 result July 76%, August 86%, Sept 73%
Reduce overall kerbside collected waste to 412 kg/per head/year by 2017.	412kg	120kg est	228kg (est)	412kg per property collected 2015/16. Qtr 1 and Qtr 2 increased tonnages due to more properties / residents participating in refuse collection. New properties showing initial surge as expected. Increase in overall residual waste possibly due to complacency regarding recycling; investigations are in hand including enhanced publicity.
Increase the recycling rate to 53% by 2017 ( <i>including composting</i> )	53%	51% (est)	54.6% (est)	Q1 estimated = 56% / actual = 57.9%
Deliver an effective and efficient refuse and recycling collection service by completing the three stages of route optimisation by December 2016	100% Dec 2016	5% (est)	30% Stage 1/2	Stage 1 integration of all domestic properties onto kerbside recycling service - complete (25%) Stage 2 actual data verification, production of optimised rounds including operator dry run - (25%) awaiting mapping, 1 round draft, dry run to be undertaken Stage 3 implementation of new rounds including communications with interested parties - not started (50%).

Indicator	Target / Benchmark	Quarter 2	YTD	Q2 Actions / Comment
Improve efficiency in public lighting by reducing energy consumption by 100,000Kwh	100,000Kwh	19,258 Kwh	21,648 Kwh	Implementation of LED lighting scheme will reduce lighting energy inventory as measured by Estimated Annual Consumption (EAC). Baseline EAC 01 December 2015 - 989,364. Profile Q1 = 0, Q2 = 20,000, Q3 = 30,000, Q4 = 50,000

Other activity and items of interest for this Purpose during Quarter 2	
<b>Design &amp; Maintenance</b>	Events Northallerton Carnival held on Applegarth car park; support provided to Stokesley show and fair.
<b>Waste &amp; Street Scene</b>	WaSS Consultation Consultation with staff regarding the way ahead, efficiencies, route optimisation, working practices



## PRIORITY – Providing a Special Place to Live

<b>Purpose:</b> <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>	<b>Outcome:</b> <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> <li>- Provide support to residents to prevent homelessness</li> </ul>			
<b>Indicator</b>	<b>Target / Benchmark</b>	<b>Quarter 2</b>	<b>YTD</b>	<b>Q2 Actions / Comment</b>
Maintain each year a minimum 5 year supply of deliverable housing sites	5 yrs	>5 yrs	>5 yrs	The Strategic Housing Land Availability Assessment which was published on 30 September confirms the Council currently has 7.9 years supply. This will be reviewed every six months
Deliver a total of 120 affordable homes ( <i>including 20 rural</i> )	120 (100%)	24	67 [56%]	Completion of 6 units at South Back Lane Stillington, 6 units at Leeming Gate, Leeming Bar, 6 units at Sowerby Gateway, 6 units at Stillington Road Easingwold.
Deliver a total of 20 affordable homes in rural locations	20 (100%)	12	37 [185%]	Completion of 6 units at Stillington and 6 units at Leeming Bar, all of which were delivered through planning gain.
Complete consultation on preferred issues and options for the new Local Plan by December 2016	100% Dec 2016	0%	0%	Document to go to Cabinet for approval on 18 October 2016. Consultation not scheduled to commence until October 2016
To ensure 70% homelessness enquiries result in preventions	70%	77.5% (62 out of 80)	77.6% [170 out of 219]	We have seen a shortfall of 66 clients and currently have 14 homeless applications. In addition to the Council's 62 preventions, Foundation achieved 57 preventions in Q2 and the CAB 12 preventions. Developing Initiatives Supporting Communities (DISC) won the new Homeless Prevention Service contract commencing 1st October 2016 and will begin supplying the homeless prevention figures.

Indicator	Target / Benchmark	Quarter 2	YTD	Q2 Actions / Comment
To achieve a total of £270k is committed to Disabled Facilities Grants applications <i>(In August 2016 it was confirmed that the Better Care Fund would be distributed differently to the original DFG amount allocated by the Government. This has resulted in an increase of available funds and upward revision of the annual target to £376k from 2016/17 Q2)</i>	£270k (100%) revised to £376k (100%) from Q2	£44,771 (£20,943 committed £23,828 spent) (52%)	£141,943 (£99,048 committed £42,895 spent)	The figure recorded in Q2 is the committed to date. 'Committed' fluctuates depending on clients' needs e.g. client move to alternative accommodation or death may result in works being cancelled. In this quarter 8 adaptations completed (spent £42,895) 11 adaptations (committed £99,048) The DFG budget has been increased to £376k following the passporting of extra money from the Better Care Fund. The Home Improvement Agency has increased staffing resource in response to this.
Process new housing benefit claims within 20 days in line with North Yorkshire authorities	20 days	24 days	20.6 days	Staff vacancies have occurred in Q2 which was further impacted by the difficulty in being able to contract agency staff.
Process new council tax claims within 20 days in line with North Yorkshire authorities	20 days	26.39 days	22.54 days	Staff vacancies have occurred in Q2 which was further impacted by the difficulty in being able to contract agency staff. The introduction of Universal Credit has impacted on performance as customers are unable to inform the authority of the necessary information for a period of 30 days, due to DWP processing times for customers receiving notification of their entitlement. This is being actively monitored.
Process housing benefit changes in circumstance within 7 days in line with North Yorkshire authorities	7 days	7.52 days	5.4 days	
Process council tax changes in circumstance within 7 days in line with North Yorkshire authorities	7 days	6.5 days	4.93 days	

Indicator	Target / Benchmark	Quarter 2	YTD	Q2 Actions / Comment
To detect and prevent the amount of housing benefit and council tax fraud against a target of £50,000.	£50,000	£0.00	£16.83	This target has been set at £50k with the expectation that fraud and error would be identified from the areas of council tax and limited housing benefit. Veritau holds the Council's contract for investigating fraud in these areas and the contract has been running for a year from September 2015 to September 2016. An investigation is currently underway as to why the fraud and error detection has fallen significantly below target whilst this area has been outsourced. Further information will be provided at Quarter 3.

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**Note:** These tables provide actual figures per quarter, whereas the information reported above is the cumulative year to date figure at each quarter, hence the figures may differ slightly.

#### NEW CLAIMS PROCESSING TIMES IN DAYS (recorded in arrears)

North Yorks Region	2015-16		Q1		Q2		Q3		Q4	
	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit
Craven	23.80	24.73	27.92	29.96	25.05	30.11				
Harrogate	20.25	18.26	21.60	20.86	10.22	23.15				
<b>HAMBLETON</b>	<b>24.73</b>	<b>20.73</b>	<b>18.98</b>	<b>17.46</b>	<b>26.39</b>	<b>24.04</b>				
Scarborough	14.56	17.24	18.13	20.63	15.35	17.62				
Selby	21.21	20.88	22.64	18.82	19.66	19.77				
Richmondshire	N/A	N/A	21.93	19.58	24.51	18.86				
Ryedale	24.46	19.50	23.90	30.99	8.58	36.08				

## CHANGE IN CIRCUMSTANCES PROCESSING TIMES IN DAYS (recorded in arrears)

North Yorks Region	2015-16		Q1		Q2		Q3		Q4	
	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit	C/Tax	H/Benefit
Craven	4.47	4.18	4.50	5.14	6.60	5.28				
Harrrogate	5.86	3.97	7.36	5.85	5.03	5.44				
<b>HAMBLETON</b>	<b>3.44</b>	<b>3.26</b>	<b>3.70</b>	<b>3.84</b>	<b>6.50</b>	<b>7.52</b>				
Scarborough	3.78	2.93	5.41	5.55	4.99	5.64				
Selby	3.85	3.49	3.51	5.17	4.72	5.29				
Richmondshire	N/A	N/A	3.50	4.10	4.05	3.91				
Ryedale	2.62	3.23	3.38	4.38	6.20	6.82				

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

<b>Customer Services &amp; Communications</b>	<b>Waste &amp; Street Scene (WASS) Strategy</b>	Substantial support provided to the green waste charging project & implementation processes, including customer enquiries plus graphics support updating policy and strategy documents, FAQ's, bin tag and licence setting, members seminar and parish liaison presentations & public displays.
<b>ICT</b>	<b>Dalton BID</b>	Implemented Business Improvement Districts solution, which Dalton Bid used and went live on 1st September successfully
	<b>Cyber Security</b>	Completed Cyber Security Incident Management Policy to prepare Hambleton to deal with Cyber Attack
	<b>Server Room</b>	As part of New Server Room project, installed containment on the ground floor in Civic Centre to protect data cable and compliance with the new legislation
<b>Legal</b>	<b>Benefit Fraud</b>	Successful benefit fraud conviction: defendant sentenced to a community service order and a compensation order and costs were awarded to the Council.
	<b>Taxi Licensing</b>	Successfully defended the decision of the Licensing Hearings Panel to suspend a taxi driver at the Magistrates Court and also awarded costs.
<b>Strategic Housing</b>	<b>Rural Housing Enabler events</b>	'Building on Shifting Sands' Sub regional Rural Housing Enabler conference at Hutton Rudby - 29th September 2016
	<b>Housing Options Team</b>	Homelessness Housing law updates 26th and 28th September 2016
<b>Revenues &amp; Benefits</b>	<b>Council Tax Reduction (CTR) 2017/18</b>	Consultation for CTR scheme for 2017/18 undertaken. Results to be compiled for Q3

## **HAMBLETON DISTRICT COUNCIL**

**Report to:** Scrutiny Committee  
17 November 2016

**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 register captures all risks identified as presenting a threat or opportunity which may impact the Council's service delivery. At Hambleton District Council, risks on the register are recognised as being either strategic or operational in nature; 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 potential impact.
- 1.2 All risks are reviewed by the relevant service on a quarterly basis to reflect upon their appropriateness and the adequacy of the mitigating action plan. 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 managed and that suitable actions are undertaken to mitigate the effect of each risk, Scrutiny Committee receive a quarterly report to monitor these. Audit, Governance and Standards Committee also receive reports on strategic risks on an ad-hoc basis only if a change occurs.
- 1.4 The Council's risk management process was audited during 2016/17 Q1 and as a result two key improvements have been introduced. A complete review of the Council's Risk Register was undertaken during Q2 in order to :
  - a) ensure all risks of a strategic nature are properly identified
  - b) determine those risks pertaining specifically to Council projects

These improvements will enable future reporting to provide additional focus by clearly distinguishing Project risks, for enhanced monitoring, whilst also providing greater recognition and consequent management of key strategic risks.

- 1.5 Two Annexes are provided for review at Q2.

Annex A Project Strategic Risks and Strategic Risks 2016/17 Q2

Annex B Project Strategic risks and Strategic Risks 2016/17 Q2 highlighting the changes that have occurred during the quarter such as risks that have been closed, those with altered elements and new risks that have been identified

### **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 the Annexes provided with the identified Project Strategic risks and the Strategic risks affecting the Council together with the actions that are in place to mitigate their potential impact.

LOUISE BRANFORD-WHITE  
HEAD OF FINANCE (S151 OFFICER)

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

**Contact Author ref:** Louise Branford-White  
Head of Finance (s151 officer)  
Direct Line No: (01609) 767024

Pam Channer  
Performance & Improvement Officer  
Direct Line No: (01609) 767034

## HDC PROJECT STRATEGIC RISKS & STRATEGIC RISKS 2016/17 Q2

Risk ID	Risk Name	Mandatory (commit to deliver)	Project Risk	Org Level	CP Priority	Risk Category	Likelihood: Impact	Score	Risk Level	Service	Action Plan	
<b>PROJECT STRATEGIC RISKS</b>												
632	North Northallerton Project is delayed or stalls completely, adversely affecting the Council's supply of housing and employment land.		Project	Strat	EV	Economic, Reputational	5x5	25	High	Business & Economy	The situation is monitored and regular communication maintained with the developer consortium and stakeholders to ensure delivery of project	
623	Failure to deliver key infrastructure to Dalton Industrial Estate resulting in restricted economic growth.		Project	Strat	EV	Economic, Reputational	5x4	20	High	Business & Economy	Submission of £1.8m grant application to LEP. Commitment from NYCC to oversee construction.	
615	Inability to deliver Bedale Gateway Car Park project leads to long-term damage to local economy through loss of visitors and trade.		Project	Strat	EV	Economic, Reputational	3x4	12	High	Design & Maintenance (incl Public Lighting)	Risk assessment reported to Cabinet 2 Dec 2014. The risk remains until the Bedale / Leeming Bar bypass is constructed and Council has reviewed the need for a Gateway Car Park, timescale end 2016	
718	Failure to secure a development partner to redevelop the prison site in accordance with the Council's objectives		Project	Strat	Corp	Economic, Reputational	2x5	10	Med	Corporate Finance	Project team undertaking a procurement competitive dialogue process with appropriate financial, legal & property advice	
699	Northallerton Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended		Project	Strat	HW	Partnership/ Contractual, Customer/Citizen, Reputational	3x3	9	Med	Leisure & Communities	National governing bodies to be consulted with a needs driven community supported proposal. 106 Agreement to be implemented to enable suitable funding	
703	Sowerby Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended		Project	Strat	HW	Partnership/ Contractual, Customer/Citizen, Reputational	3x3	9	Med	Leisure & Communities	National governing bodies to be consulted with a needs driven, community supported proposal. 106 Agreement to be implemented to enable suitable funding	
692	Failure to provide accurate and timely employment advice to the WASS Route Optimisation Project could result in WASS management not correctly consulting or redeploying WASS staff. This in turn may result in grievances from the staff or UNISON which might delay the delivery of the project		Project	Strat	Corp	Economic, Reputational	2x3	6	Med	Human Resources	HR team will ensure that advice is given in a timely and accurate manner. This project will be built into the Internal Operating Plan so that other work can be reprioritised. If any complex matters arise further advice will be sought	
715	£25m loan to Broadacres Association fails because the third party no longer requires the loan, or encounters difficulties in their repayments and the income received by the council is reduced		Project	Strat	Corp	Financial	3x1	3	Low	Corporate Finance	Ensure other income generating possibilities are being explored to maintain a balanced budget; monitor the third parties financial position to ensure they are in a secure position for the Council to loan the money; maintain good relations with the third party. Also note that the loan is secured with their housing stock	
<b>STRATEGIC RISKS</b>												
227	Unable to access HDC services due to ineffective individual business continuity plans leading to loss of service.		Project	Strat	Corp	Partnership/ Contractual, Customer/Citizen, Economic, Environmental, Financial, Health & Safety, Legal, Reputational, Social	4x5	20	High	Cust Services & Comms	Following recent audit and working with Vertau an action plan to refresh the Council's Business Continuity Plan 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 Business Continuity Plan / Disaster Recover and to clarify responsibilities for Management Team, Heads of Service and Service Managers; produce a schedule for authorising, testing and reviewing Business Continuity Plans and Disaster Recovery. Complete an internal review of services, risks and agree operational importance to inform Business Continuity Plans, updating risk register as appropriate. Review and agree Business Continuity Plan support with NYCC. Timeline for delivery is in development.	
677	Cyber attack facilitated by user error leads to loss of key ICT infrastructure resulting in reduced ability to provide ICT Services		Project	Strat	Corp	Reputational	5x3	15	High	ICT (inc. Reprographics)	Compulsary annual Cyber Security training for all users, Cyber Security Incident Management Plan in place, actively monitor and review ICT security policies, participate in WARP (Warning, Advice and Reporting Point) to share knowledge and information with other Councils, arrange ICT staff training to keep up with the latest development	
416	Significant reductions in government grant leading to the inability to sustain council services at the current level.		Project	Strat	Corp	Financial, Reputational	3x4	12	High	Corporate Finance	An on-going programme of service delivery and saving reviews that ensures best value is being achieved and income is maximised.	

## HDC PROJECT STRATEGIC RISKS & STRATEGIC RISKS 2016/17 Q2

Risk ID	Risk Name	Mandatory (confirm by elected)	Project Risk	Org Level	CP Priority	Risk Category	Likelihood: Impact	Score	Risk Level	Service	Action Plan
153	Economic downturn leads to fewer customers / memberships and therefore reduced income		Strat	Strat		Financial	3x4	12	High	Leisure & Communities	Improve value and quality of products / services and alternative offerings
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	SP		Customer / Citizen, Reputational, Social	3x4	12	High	Strategic Housing	Affordable housing targets and thresholds to be reviewed as part of work on new Local Plan and with regard to Government priority for Starter Homes and viability considerations. RHE focus on delivery via exception sites that are not reliant on market
151	Increased direct fitness competition leading to customer migration resulting in less usage/income.		Strat			Customer / Citizen, Financial	3x3	9	Med	Leisure & Communities	Improve quality of existing provision, improve gym management & improve quality/quantity of frontline gym fees.
383	Failure to review and update emergency plans leads to inadequate response.		Strat	Corp		Customer/Citizen, Environmental, Financial, Reputational	2x4	8	Med	Cust Services & Comms	HDC to maintain review process with NYCC Emergency Team
139	Failure of the Safer Hambleton Local Delivery Group leads to non-compliance with statutory regulations		Strat	L		Legal	2x4	8	Med	Leisure & Communities	The SHLDP is changing its operating model to Integrated Neighbourhood Management during 2016, this will include a pilot phase from Oct 2016 - Mar 2017, at which point a full review should be undertaken.
225	Failure to manage Capital Programme leading to inability to deliver Council Services efficiently and effectively		Strat	Corp		Financial, Reputational	2x3	6	Med	Corporate Finance	Monthly review and management of Capital Programme
226	ICT system(s) failure leads to loss of Council operations & key channels of communication (telephones, email, website, etc.) resulting in inability of the Council to communicate and carry out transactions with Citizens.		Strat	Corp		Reputational	1x5	5	Med	ICT (inc. Reprographics)	ICT to revise, test and maintain a Disaster Recovery plan according to identified business needs
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.	M	Strat	Corp		Customer / Citizen	1x5	5	Med	ICT (inc. Reprographics)	ICT Disaster Recovery Policy procedure is in place and will work with Business Areas to provide resilience in line with the business needs. Emergency Kit is in place, being reviewed and backed up on regular basis
149	An incident resulting in death(s) leads to impact on family/staff & reputational damage resulting in lower usage/income & failure to improve residents health.		Strat			Customer / Citizen, Economic, Environmental, Financial, Health & Safety, Legal, Reputational, Social	1x5	5	Med	Leisure & Communities	Adherence to nationally prescribed safety standards, adherence to site specific safe operating practices, competent staff
705	Failure to provide timely legal advice and assistance regarding key strategic projects results in delays to the projects with potential adverse partnership effects and reputational damage.		Strat	Corp		Partnership/ Contractual, Legal, Reputational	2x2	4	Low	Legal Services	Ensure prioritisation of work and working in project deadlines for the key strategic projects to promote the Council's priorities.
709	Failure to set a 2017/18 Budget to reflect the Financial Strategy and the budgeted Council Tax.		Strat	Corp		Financial	1x3	3	Low	Corporate Finance	Complete and challenge the Budget setting process



**ANNEX B**

**HDC CHANGED PROJECT STRATEGIC RISKS**

Risk ID	Risk Name	Mandatory (cannot be closed)	Project Risk	Org Level	CP Priority	Risk Category	Status	Likelihood: Impact	Score	Risk Level	Action Plan	2016/17 Q2 changes
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**PROJECT STRATEGIC RISKS**

632	Northallerton Project is delayed or stalls completely, adversely affecting the Council's supply of housing and employment land.		Project	Strat	EV	Economic, Reputational	Active	5x5	25	High	The situation is monitored and regular communication maintained with the developer consortium and stakeholders to ensure delivery of project	<b>632 changed</b> moved from Service risk to Project Strategic risk
623	Failure to deliver key infrastructure to Dalton Industrial Estate resulting in restricted economic growth.		Project	Strat	EV	Economic, Reputational	Active	5x4	20	High	Submission of £1.8m grant application to LEP. Commitment form NYCC to oversee construction.	<b>623 changed</b>
718	Failure to secure a development partner to redevelop the prison site in accordance with the Council's objectives		Project	Strat	Corp	Economic, Reputational	Active	2x5	10	Med	Project team undertaking a procurement competitive dialogue process with appropriate financial, legal & property advice	<b>718 NEW</b>
699	Northallerton Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended		Project	Strat	HW	Partnership/Contractual, Customer/Citizen, Reputational	Active	3x3	9	Med	National governing bodies to be consulted with a needs driving community supported proposal. 106 Agreement to be implemented to enable suitable funding	<b>699 NEW</b>
703	Sowerby Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended		Project	Strat	HW	Partnership/Contractual, Customer/Citizen, Reputational	Active	3x3	9	Med	National governing bodies to be consulted with a needs driven, community supported proposal. 106 Agreement to be implemented to enable suitable funding	<b>703 NEW</b>
692	Failure to provide accurate and timely employment advice to the WASS Route Optimisation Project could result in WASS management not correctly consulting or redeploying WASS staff. This in turn may result in grievances from the staff or UNISON which might delay the delivery of the project		Project	Strat	Corp	Economic, Reputational	Active	2x3	6	Med	HR team will ensure that advice is given in a timely and accurate manner. This project will be built into the Internal Operating Plan so that other work can be reprioritised. If any complex matters arise further advice will be sought	<b>692 NEW</b>
715	£25m loan to Broadacres Association fails because the third party no longer requires the loan, or encounters difficulties in their repayments and the income received by the council is reduced		Project	Strat	Corp	Financial	Active	3x1	3	Low	Ensure other income generating possibilities are being explored to maintain a balanced budget; monitor the third parties financial position to ensure they are in a secure position for the Council to loan the money; maintain good relations with the third party. Also note that the loan is secured with their housing stock	<b>715 NEW</b>
716	The Council plan does not exist and there is no understandable vision or objectives for the Council		Project	Strat	Corp	Financial, Reputational	Closed/Archived	3x1	3	Low	Ensure that the council plan is in line with the manifesto - is created on a 4 year cycle and is updated and report to Cabinet / Council annual.	<b>716 closed</b>
<b>STRATEGIC RISKS</b>												
677	Cyber attack facilitated by user error leads to loss of key ICT infrastructure resulting in reduced ability to provide ICT Services		Project	Strat	Corp	Reputational	Active	5x3	15	High	Compulsary annual Cyber Security training for all users, Cyber Security Incident Management Plan in place, actively monitor and review ICT security policies, participate in WARP (Warning, Advice and Reporting Point) to share knowledge and information with other Councils, arrange ICT staff training to keep up with the latest development	<b>677 changed</b> moved from Service risk to Project Strategic risk
153	Economic downturn leads to fewer customers / memberships and therefore reduced income		Project	Strat	Corp	Financial	Active	3x4	12	High	Improve value and quality of products / services and alternative offerings	<b>153 changed</b> moved from Service risk to Project Strategic risk
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		Project	Strat	SP	Customer / Citizen, Reputational, Social	Active	3x4	12	High	Affordable housing targets and thresholds to be reviewed as part of work on new Local Plan and with regard to Government priority for Starter Homes and Viability considerations. RHE focus on delivery via exception sites that are not reliant on market	<b>423 changed</b> risk & action plan updated
684	Proposed legislative changes including the Housing and Planning Bill.		Project	Strat	Corp	Customer/Citizen	Closed/Archived	4x3	12	High	Work with other Council departments, partners and other LAs to explore/develop innovative new approaches to mitigate any adverse impact wherever possible	<b>684 risk closed</b>
708	£25m loan lent to a Local Housing Association which encounters difficulties in their repayments		Project	Strat	Corp	Financial	Closed/Archived	2x5	10	Med	Monitor the Housing Association to identify any indications of difficulties. Also note that the loan is secured with their housing stock	<b>708 closed</b>

# ANNEX B

# HDC CHANGED PROJECT STRATEGIC RISKS

Risk ID	Risk Name	Mandatory Project Risk <i>(cannot be closed)</i>	Org Level	CP Priority	Risk Category	Status	Likelihood: Impact	Score	Risk Level	Service	Action Plan	2016/17 Q2 changes
151	Increased direct fitness competition leading to customer migration resulting in less usage/income.		Strat		Customer / Citizen, Financial	Active	3x3	9	Med	Leisure & Communities	Improve quality of existing provision, improve gym management & improve quality/quantity of frontline gym fees.	<b>151 changed</b> moved from Service risk to Project Strategic risk
139	Failure of the Safer Hambleton Local Delivery Group leads to non-compliance with statutory regulations		Strat		Legal	Active	2x4	8	Med	Leisure & Communities	The SHLDP is changing its operating model to Integrated Neighbourhood Management during 2016, this will include a pilot phase from Oct 2016 - Mar 2017, at which point a full review should be undertaken.	<b>139 changed</b> risk transferred from Business & Economy to Leisure, action plan updated
226	ICT system(s) failure leads to loss of Council operations & key channels of communication (telephones, email, website, etc.) resulting in inability of the Council to communicate and carry out transactions with Citizens.		Strat	Corp	Reputational	Active	1x5	5	Med	ICT (inc. Reographics)	ICT to revise, test and maintain a Disaster Recovery plan according to identified business needs	<b>226 changed</b> risk amended
149	An incident resulting in death(s) leads to impact on family/staff & reputational damage resulting in lower usage/income & failure to improve residents health.		Strat		Customer / Citizen, Economic, Environmental, Financial, Health & Safety, Legal, Reputational, Social	Active	1x5	5	Med	Leisure & Communities	Adherence to nationally prescribed safety standards, adherence to site specific safe operating practices, competent staff	<b>149 changed</b> moved from Service risk to Project Strategic risk
705	Failure to provide timely legal advice and assistance regarding key strategic projects results in delays to the projects with potential adverse partnership effects and reputational damage.		Strat	Corp	Partnership/ Contractual, Legal, Reputational	Active	2x2	4	Low	Legal Services	Ensure prioritisation of work and working in project deadlines for the key strategic projects to promote the Council's priorities.	<b>705 NEW</b>
709	Failure to set a 2017/18 Budget to reflect the Financial Strategy and the budgeted Council Tax.		Strat	Corp	Financial	Active	1x3	3	Low	Corporate Finance	Complete and challenge the Budget setting process	<b>709 NEW</b>

## **HAMBLETON DISTRICT COUNCIL**

**Report To:** Scrutiny Committee  
17 November 2016

**From:** Chairman of Scrutiny Committee

**Subject:** **POLICY REVIEW – HEALTH AND SAFETY**

All Wards

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### **1.0 SUMMARY:**

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

### **2.0 BACKGROUND:**

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

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

To consider whether the existing plans, policies and working arrangements for Health and Safety Management within the Council are effective and to ensure that the Council's Health and Safety procedures meets or exceed the legal requirements.

### **3.0 INFORMATION AND ISSUES:**

3.1 The following officers will be in attendance at the meeting:

- Stephen Lister, Head of Service – Leisure and Communities
- Dominic Passman, Health and Safety Risk Manager
- Gary Nelson, Head of Legal and Information (Monitoring Officer)
- Louise Hancock, Democratic Services Officer

### **4.0 RECOMMENDATION:**

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

COUNCILLOR STEPHEN DICKINS

**Background papers:** None  
**Author ref:** LAH  
**Contact:** Louise Hancock  
Democratic Services Officer  
Direct Line No: (01609) 767015

## SCRUTINY COMMITTEE

### POLICY REVIEW – HEALTH AND SAFETY MANAGEMENT

#### TERMS OF REFERENCE:

To consider whether the existing plans, policies and working arrangements for Health and Safety Management within the Council are effective and to ensure that the Council's Health and Safety procedures meets or exceed the legal requirements

#### SCOPE

- To review the existing arrangements for Health and Safety Management, including the secondment arrangement with NYCC
- To review the Corporate Health and Safety Plan for 2016-2017
- To review the Health and Safety Policy 2016
- To consider performance on the key improvement priorities for 2016-2017
- To consider how the Corporate Policy and Plan is being implemented in the key risk areas for Health and Safety in the Council

#### OBJECTIVES

- To investigate whether the existing arrangements for Health and Safety Management are effective and fit for purpose
- To ascertain whether any significant Health and Safety issues remain unresolved and to consider a way forward to resolving these issues
- To review the Corporate Health and Safety Policy and Health and Safety Plan for 2016-17 taking into consideration any outstanding issues that remain unresolved
- To review existing arrangements for Health and Safety Management and consider whether these are effective

#### WITNESSES

- Chief Executive, Dr Justin Ives
- Executive Director, Mick Jewitt
- Dominic Passman, Health and Safety Risk Manager
- Head of Service – Environment, Paul Staines
- Head of Service – Leisure and Communities, Steve Lister

#### DOCUMENTS/EVIDENCE

- Health and Safety Policy 2016
- Health and Safety Plan for 2016/17
- Progress reports on the implementation of the Health and Safety Plans
- WASS Health and Safety Plan 2016/17
- Leisure and Communities Health and Safety Plan 2016/17

#### OTHER METHODS/CONSULTATION/RESEARCH

Task and Finish Groups.

#### OFFICER SUPPORT

Louise Hancock, Democratic Services Officer  
Gary Nelson, Head of Service – Legal and Information (Monitoring Officer)

#### TIMESCALE

Commencing September 2016  
Projected completion January 2017  
Report to Cabinet February 2017

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## **HAMBLETON DISTRICT COUNCIL**

**Report To:** Scrutiny Committee  
17 November 2016

**From:** Chairman of Scrutiny Committee

**Subject:** **POLICY REVIEW – CIVIL PARKING ENFORCEMENT**

All Wards

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### **1.0 SUMMARY:**

1.1 The purpose of this report is to review the evidence recorded to date and consider whether any further information is required before determining whether to conclude the Review.

### **2.0 BACKGROUND:**

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

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

To investigate whether the current arrangements for enforcement of Civil Parking are effective; whether there are any existing issues with delivery of the service and consider options for the future delivery of the service.

2.3 A summary of the key points highlighted from the evidence is attached at Annex B to the report along with a full memorandum of evidence at Annex C.

### **3.0 RECOMMENDATION:**

3.1 The Committee is asked to determine whether any further information is required to assist with the Policy Review or whether conclusions can be formulated to enable the draft report to be prepared.

COUNCILLOR STEPHEN DICKINS

**Background papers:** None  
**Author ref:** LAH  
**Contact:** Louise Hancock  
Democratic Services Officer  
Direct Line No: (01609) 767015

201016 Civil Parking Enforcement.doc

**SCRUTINY COMMITTEE**

**POLICY REVIEW – CIVIL PARKING ENFORCEMENT**

TERMS OF REFERENCE:

To investigate whether the current arrangements for enforcement of Civil Parking are effective; whether there are any existing issues with delivery of the service and consider options for the future delivery of the service

SCOPE

- To ascertain what the current arrangements are for delivery of the service
- To examine whether the existing delivery of the service is effective
- To identify whether there are any issues which may require further investigation
- To explore options of future delivery

OBJECTIVES

- To determine whether the existing arrangements for enforcement of Civil Parking legislation are effective and value for money
- To identify any issues arising out of the delivery of the service and explore areas for improvement
- To ascertain future options for future delivery of enforcement to be considered

WITNESSES

- Executive Director, Dave Goodwin
- Head of Service – Customer and Economy – Helen Kemp
- Appropriate representative from Scarborough Borough Council



DOCUMENTS/EVIDENCE

- Civil Parking Enforcement Agreement
- Statistics on numbers of notices served; appeals; bailiff stats
- Benchmarking information from other Authorities

OTHER METHODS/CONSULTATION/RESEARCH

Task and Finish Groups.

OFFICER SUPPORT

Louise Hancock, Democratic Services Officer  
Gary Nelson, Head of Service – Legal and Information (Monitoring Officer)

TIMESCALE

Commencing September 2016  
Projected completion January 2017  
Report to Cabinet February 2017

**Key Points From Evidence**

The following is a summary of the key points highlighted from the evidence received:

- It was recognised that the officers carrying out enforcement and issuing PCNs were carrying out their duties and that if the policies of the car parks were adhered to there would be less enforcement.
- Feedback was an area identified for possible improvement as this was considered to be weak.
- Options for future delivery would be considered at the appropriate time and could possibly include consideration of bringing the service back in-house.
- It was accepted that the current arrangements for Civil Parking Enforcement were adequate and presently fit for purpose.

**Memorandum of Evidence**

The Committee took evidence from Dave Goodwin, Executive Director, Hambleton District Council and received a presentation, a copy of which had previously been circulated and was available as part of the Committee's records.

The presentation covered the following areas:

- History/Context of Civil Parking Enforcement (CPE)
- Partnership arrangements
- Statistics – Penalty Charge Notices
- Car Park Usage
- Future Options

The Committee was provided with an explanation on the background to CPE and was advised that historically the police used to issue car parking notices for highway contraventions and the District Council employed officers to do 'off road' enforcement, such as in the car parks.

In 2002 Harrogate moved to CPE because the Government wanted the polices' time spent on other priorities. Then the Government wanted all authorities to move to this system. HDC entered into a partnership agreement in May 2013 and the agreement would run for a period of 5 years. If the Council wished to change the arrangement or withdraw from the partnership, a period of notice would be required of 6 months. It was suggested that if this were to be an option that the Council wished to explore, it would be worth considering having a new system in place and up and running prior to the existing arrangement ceasing.

The Committee was advised that as part of the partnership, there was a 5 year agreement and income was protected. The District Council received a £14k subsidy each year because the Council had agreed to issue penalty charge notices at a lower rate than the previous system – hence why income was down.

The Committee was provided with information on statistics on benchmarking. When the figures were examined, it appeared that the District Council issued more notices but this could be interpreted in several ways. It could be that more people were breaking the rules and getting caught. An example was that in 2015/16 HDC issued 2000 PCNs, there were 410 issued in Richmondshire and 780 in Ryedale. Out of the 2000 HDC issued, 1700 were paid straightaway and 300 were challenged.

The Committee asked if officers were implementing a tougher regime in Hambleton rather than in Scarborough or Ryedale and whether a higher amount of parking contravention notices (PCN's) may be challenged because more people were unhappy. The Committee also wished to know whether the same staff worked in Hambleton as in other areas.

The Committee was advised that it could also be because of the number of car parking spaces. The staff worked on different rotas so that they did not regularly visit the same areas on the same days and times so that their visits could not be predicted by those using the car parking spaces.

The Committee commented that it would be interesting to identify of the PCNs issued, how many were residents and how many were visitors.

The Committee was informed that the finances showed that the District Council was making a surplus but the expenditure in terms of costs with undertaking CPE covered staff, equipment, etc and it did not cover the cost of maintaining the car parks, this was an entirely separate issue.

The Committee gave consideration to future options and suggested that bringing the function back in-house may be an option worth considering at the appropriate time. The Committee was advised that effectively this would mean going back to the old regime. This may not be in-line with the Government's initiative.

The Committee sought clarification as to who was the enforcing authority and was advised that this was Scarborough Borough Council as there was a single regime across North Yorkshire.

The Committee asked whether HDC could take on on-street parking which was currently policed by North Yorkshire County Council Highways and was advised that this was all part of the same Partnership regime and therefore subject to the same timescale regarding renewing the agreement.

The Committee enquired whether the days that enforcement was applicable, ie Sundays and Bank Holidays, could be altered or was this something that had to be agreed by the Partnership and was advised that this was a partnership approach but this could be altered including Sundays and Bank Holidays. HDC could make changes to when enforcement took place.

The Committee took evidence from Clive Thornton, Corporate Facilities Manager, HDC

The Benchmarking data on Civil Parking Enforcement (CPE) statistics had been circulated to the Committee prior to the meeting. A copy of this document was available as part of the Committee's records.

The Committee was advised that in the year 2015/16, benchmarking data indicated that Hambleton District Council had a good percentage of Penalty Charge Notices (PNC's) paid (86%) with fewer being cancelled (11%). This compared quite well with other Authorities.

The Committee noted that the statistics would indicate that there had been an increase in the number of PCN's issued and enquired as to what could be the reason for this. The Committee was advised that when Scarborough took over the service numbers increased, this could be because there was more consistency with enforcement. The more patrols there were the more PCNs would be issued if there were breaches. There was a consistent level of resources providing cover.

The Committee wished to know how Scarborough advertised and recruited their officers and how many were in the District. The Committee was advised that HDC had set out the service based on 43 hours a week of enforcement time. There were three full-time officers and resources were shared with NYCC but HDC received 43 hours of time a week. The District Council also supported Scarborough when interviewing for the posts.

The Committee was informed that HDC was a member of PATROL which was the Parking Adjudication Joint Committee and was made up of all Councils outside London operating Civil Parking Enforcement. It oversaw the operation of adjudication appeals against parking tickets. The Council had one Member on the Committee appointed at the annual meeting and this was Councillor Knapton. Councillor Knapton attended meetings and provided feedback.

The Committee enquired about Disabled parking and was advised that charges for disabled bays were applied in accordance with the policy for whichever car park the user was in and disabled bays were subject to Civil Parking Enforcement. Blue badge holders must comply with the requirements of the parking policy which was displayed on information boards and parking bays in the car parks.

The Committee commented that the rules for disabled bays could be quite complicated and wished to know how users were informed about the rules and was advised that all the information was on the signage in the car parks.

The Committee asked whether the current signage was adequate and whether there was a national standard. The Committee was advised that for off street parking it just had to be reasonable and for on street parking there was guidance which provided information on how signs should be laid out but they had to be distinctly different so that they could not be confused. If there were any deficiencies with the signage brought to our attention we would respond to it. Users should make themselves aware of the requirements and provided they comply, there would be no requirement for enforcement.

The Committee wished to know, in relation to HGV Parking, did overnight parking come under enforcement and was advised that the only provision for HGV parking was in the Applegarth Long Stay car park and users were subject to the policy of that car park. Provided users complied with the policy there would be no requirement for enforcement. If there were any breaches of HGV drivers using other car parks that they were not permitted to use, enforcement action would be used if necessary.

The Committee asked if the number of spaces that would be provided at the Bedale Car Park been taken into account in the number of hours of enforcement and was advised that the proposals for Bedale were included within the regime and adequate resources would be provided to cover it.

The Committee enquired whether there was any feedback of any parking notices, compliments, complaints and was advised that there was no specific information collated although feedback was received from Scarborough. This was an area where the link had been lost directly with the car park users. HDC did review and respond when feedback was received and regular meetings are held with Scarborough about performance.

The Committee asked if the wording of a PCN was standard and was advised that, yes, this should be compliant with the Traffic Management Act 2004 which set out what needed to be included, such as vehicle registration, time of contravention, etc.

The Committee enquired whether the taking of pictures was a legal requirement and was advised that every PCN has a photograph accompanying it and this could be used as evidence.

The Committee noted that statistically, in 2015/16 more PCN's were successfully challenged and enquired as to the possible reason why. The Committee was advised that the reasons for cancellation varied and there was a process to go through and if you could provide a valid ticket the PCN may be cancelled. Each case had to be considered depending on individual circumstances.

The Committee asked whether the District Council were being too lenient and was advised that if HDC refused an appeal, it could go to arbitration and they might allow the challenge. Approximately 50% of cases were accepted when they went to arbitration.

The Committee wished to ascertain whether rebate would continue and was advised that this would not continue beyond the 5 year agreement.

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