

Hambleton District Council

Report to: Scrutiny Committee
18 February 2021

From: Director of Finance and Commercial (s151 Officer)

Subject: **Review of Risk Management – 2020/21 Q3**

Wards Affected: All Wards

1.0 Purpose and Background

- 1.1 The principles of the CIPFA Framework Delivering Good Governance in Local Government require Hambleton District Council to be responsible for putting in place proper arrangements for the governance of its affairs and facilitating the effective exercise of its functions, which includes arrangements for the management of risk.
- 1.2 The Council has a robust risk management process in place which includes a comprehensive risk register. The register captures all risks identified as presenting a threat or opportunity which may impact the Council's service delivery. The Council's Risk Management Framework provides information and guidance on the authority's risk appetite and risk management process. The updated Risk Management Framework was approved by Audit, Governance and Standards Committee on 22 October 2019 and by Council on 17 December 2019.
- 1.3 All risks are reviewed by the relevant service manager on a quarterly basis to reflect upon their appropriateness and the adequacy of a mitigating action plan.
- 1.4 The Strategic Risk Management Group meets quarterly to drive all aspects of risk management compliance for the authority, supporting the quarterly monitoring roles performed by Management Team and the Scrutiny Committee. The group act as risk 'champions' ensuring risk management has an appropriate profile and sufficient focus on the corporate agenda.
- 1.5 In the event that the Scrutiny Committee questions an individual risk this would be raised at Council. However, if Scrutiny Committee wanted to raise a query surrounding the process and control of risks then this would be raised with Audit, Governance and Standards Committee. Audit, Governance and Standards Committee has the overall responsibility for risk but the quarterly monitoring scrutiny role is delegated to Scrutiny Committee.
- 1.6 Management Team conduct an annual review at Quarter 4 of the Council's full risk register which satisfies the Council's audit obligations and demonstrates good corporate governance by ensuring that senior management are actively engaged with the Council's risk management process.

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

2.0 Risk Management Process

- 2.1 In Q3, 144 risks were changed, 25 new risks were identified and no risks were closed. Of the new risks, 15 relate to Fraud and Corruption and one relates to Legislative Changes following Brexit. The authority currently holds a total of 562 active risks across all service areas.
- 2.2 Extracts of the current risk register displaying active Corporate Risks at Q3 are attached at Annex A, Key Corporate Project Risks are attached at Annex B and Service Risks with a Net Risk Threshold of 12 or above are attached at Annex C.

3.0 Risk Management

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

4.0 Recommendations

- 4.1 It is recommended that the Committee note:

- (1) Annex A HDC Corporate Risks
- (2) Annex B HDC Key Corporate Project Risks
- (3) Annex C HDC Service Risks with a Net Risk Threshold of 12 or Above.

Louise Branford-White
Director of Finance and Commercial (s151 officer)

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

Author ref: Louise Branford-White
Director of Finance and Commercial (s151 officer)
Direct Line No: (01609) 767024

Jacky Byrne
Performance and Improvement Officer
Direct Line No: (01609) 767034

Risk ID	Risk Name	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
				Likelihood :	Score	Risk Level			Likelihood :	Score	Risk Level
157	Health & Safety Lone Working Practices are not as effective as they should be leading to potential physical risk and/or sub-standard service, performance, financial and reputational losses and legal challenge.	Paul Staines	All Service Managers	2x5	10	Med	<ul style="list-style-type: none"> HDC implements suitable arrangements where all services work to the Council's Health and Safety Policy and lone working procedures. Service action plans in place including: <ul style="list-style-type: none"> Specific service risk assessments & practices in place All relevant staff receive Health & Safety training A system of monitoring and review is in place where the corporate Health & Safety Group monitor risk assessment management and associated Key Performance Indicator's. Audits of lone working practices and violence and aggression in the workplace are being carried out by North Yorkshire County Council's Health and Safety Adviser in Q3 and Q4 (in abeyance due to Covid. Will continue once restrictions ease). The Civic Centre recovery plan and risk assessment reflect the requirements of COVID 19. This has been mirrored for other workplaces such as the depot. Lone working is supported by Service Managers with their staff who are working from home. Service Managers are aware of the importance of knowing whether staff are at work or at home and are taking measures to ensure their staff's health and safety. Specific Covid management team meetings are in place to ensure that plans are up to date. 	On-going	1x3	3	Low
254	Health & Safety Workplace Risk Assessment -Failure to identify, implement and review the annual Workplace Health & Safety Risk Assessment programme leads to potential physical risk and/or sub-standard service, performance, financial, environmental and reputational losses and legal challenge.	Paul Staines	All Service Managers	5x5	25	High	Each service to implement their service specific action plan to undertake service risk assessments and workplace inspections annually. Services to work to the HDC Health & Safety Policy and arrangements for risk assessments. Professional support is bought in from NYCC Health and Safety Team under a three yearly service level agreement. There is a corporate performance indicator to complete 100% of risk assessments in key areas. This is measured by the Health and Safety Officer and reported to the corporate Health and Safety Group quarterly. Some risk assessment reviews may be late in Q3 2020/21 due to Covid considerations. This does not affect the overall risk. Risk assessment KPI monitoring resumed in Q2.	Ongoing	1x5	5	Low

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407	Failure to develop and maintain an effective Business Continuity Plan leads to lack of resilience or inability to access HDC services resulting in loss of service or failure of service delivery.	Paul Staines	All Service Managers	1x5	5	Med	Business continuity policy, procedure and plans are in place across the organisation and all service managers are engaged. ICT liaise with services to provide resilience in line with the business needs. Business Continuity plans are reviewed annually as part of service planning. HDC buy in specialist advice from NYCC Resilience and Emergencies Team. Covid 19 is still in the response phase , though measures are being taken to move into recovery, this is a fluid situation and will change according to government guidance. A full review of the authority's Business Continuity arrangements, especially as they relate to pandemics, will be scheduled once recovery has been settled. This will be led by Paul Staines with advice from NYCC Resilience and Emergencies Team. The timescale is dependent upon a number of factors including the possibility of a second or even third wave. Consideration is being given to how service managers would respond to a situation in which IT systems are unavailable and the majority of staff are working from home.	Review Business Continuity Plans Q4	1x3	3	Low
512	Failure to follow General Data Protection Regulation Requirements and failure to follow the Council's Information Policy leads to a violation of Data Protection Act which could lead to a fine by the Information Commissioner's Office and creates a risk of legal challenge and reputational damage where regulations are not complied with.	Gary Nelson	Laura Venn & All Services	2x3	6	Med	Retention and destruction of documentation in accordance with the Information Asset Register. Annual review of service area records management in line with Document Retention Policy and all staff to receive Data Protection training/ General Data Protection Regulation updates.	On going	2x2	4	Low

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522	Failure of the Council's website or failure to maintain current/correct information removes the principal communication and compliance tool, blocks transparency and denies residents' payment facilities and emergency information resource, leading to reputational, legal and financial loss.	Mick Jewitt	Anna Wilkes and all service managers	3x3	9	Med	Website hosted and supported offsite to minimise risk and current information maintained and reviewed on a regular basis. Work has been undertaken on updating the web platform to ensure compliance with web accessibility legislation introduced September 2020. There were delays introduced due to the Covid-19 response but the new web platform went live in December 2020. Individual action plans within services established to reduce gross risk - further progress (as planned) needed with these to decrease the likelihood score further with an expectation that this will lead to a net risk of 1x3 during Q4.	Ongoing	2x3	6	Med
602	Failure to comply with the Public Sector Equality Duty will put the organisation at risk of legal challenge and reputational damage	Gary Nelson	Lynne Halls & All Services	3x4	12	High	Service Managers with advice and guidance from Human Resources will ensure that the General and Specific requirements of the Public Sector Equality Duty are met. All Managers and Staff who follow the requirements of the Equality and Diversity Policy and Procedure and take part in any relevant training as listed in Appendix B of the Learning and Development Policy.	Ongoing	1x3	3	Low
709	Failure to set a balanced Annual Budget which is reflected in the 10 year Financial Strategy.	Louise Branford-White	Saskia Calton	1x4	4	Low	Complete and challenge the Budget setting process, generate income, create efficiency savings, consider reduction to the current budget, monitor and manage the position. Report to Cabinet and Council on an annual basis prior to the new financial year and monitor on a quarterly basis. The financial impacts of COVID 19 are continually monitored and an updated position is provided in the Qtr 3 2020/21 Revenue Monitoring Report at Cabinet in February 2021. The financial strategy will be updated at February 2021 Cabinet for the 2021/22 financial year further to the Chancellor's announcement on 25/11/2020 and the settlement being provided to all Local Authorities from Government in December 2020.	Annually - February and Quarterly monitoring	1x3	3	Low

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798	Staff attendance - Failure to effectively manage staff attendance at work leads to potential physical risk, reduced staffing levels and/or sub-standard service with regards to possible financial, environmental and reputational losses and legal challenge.	Gary Nelson	Lynne Halls & All Services	2x3	6	Med	Service Managers with advice and guidance from Human Resources will manage the attendance of staff so contractual requirements are met. This will involve invoking policies such as Sickness Absence Management, Leave, Flexi Time, Capability and Recruitment and Selection.	Ongoing	1x3	3	Low
800	Training and Development - Failure to plan, resource and implement and ensure attendance at mandatory corporate training and development (in line with Appendix B of the Learning and Development Policy and Procedure) for employees leads to potential physical risk and/or sub-standard service with regards to possible financial, environmental and reputational losses and legal challenge	Gary Nelson	Lynne Halls & All Services	1x3	3	Low	Human Resources will liaise with Service Managers to ensure that any mandatory training is scheduled onto the Learning and Development Calendar. Human Resources will also work with Service Managers to ensure staff attend corporate mandatory learning and development activities. Human Resources will also work with Service Managers to resolve issues of non-attendance of departmental mandatory learning and development.	Ongoing	1x3	3	Low
814	Failure to prepare for a No Deal Brexit leads to a disruption to services and an inability to service local needs - <ul style="list-style-type: none"> Fuel shortages affect refuse collection Fuel shortages affect individuals ability to get to work Extra demand for council services due to hardship Internal capacity to deal with changes in regulatory services Failure to manage communications with businesses/community/voluntary leads to reputational damage 	Paul Staines	Paul Staines	3x4	12	High	<ul style="list-style-type: none"> Engage with Local Resilience Forum partners at a strategic and tactical level using established emergency planning protocols Report by exception to Yorkshire and Humber lead Brexit Officers through Leeds City Council Use Local Government Association toolkit for communication Communicate with service managers forum to ensure business continuity plans reflect the risk. Corporate Brexit Plan approved by Management Team 16/10/2019. Reviewed by PS October 2020, Service managers to review detail in December 2020. Deal secured December 2020. Implications are being worked through in relevant business areas. 	Ongoing	1x3	3	Low

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823	Failure to take action on climate change leads to adverse impacts on the local and global environment and damages the council's reputation.	Paul Staines	All Service Managers	3x5	15	High	A schedule has been drawn up documenting all services' carbon saving measures and plans to reduce carbon in the future. Working with other authorities regionally and sub regionally on positive actions, also supporting communities to take positive actions. Internal working group has been established and is baselining energy usage. A draft strategy was presented to Management Team in Oct 2020. Following the announcement of local government re-organisation this project is in abeyance. Application made to the Government's De-Carbonisation Fund in January 2021. A further report will go to Management Team in January 2021.	Continuously monitored and reviewed	2x4	8	Med
824	Cyber Security - Cyber-attack leads to loss of key ICT infrastructure resulting in reduced ability to provide ICT Services, occurring financial loss and reputational damage	Louise Branford-White	Jenny Pan	3x5	15	High	<ul style="list-style-type: none"> • Compulsory annual Cyber Security training for all users • Procedure to verify each user and issue minimum required access rights • Manage privileged access • Annual IT Health Check and remedial work • PSN (Public Services Network) compliant • Strong password policies are in place • Regularly test Disaster Recovery and Business Continuity Plan • Cyber Security Incident Management Plan in place • Annual review of the Information Security Policy • Participate in WARP (Warning, Advice and Reporting Point) Yorkshire group to share knowledge and information with other Councils • Cyber Liability Insurance is in place. 	Ongoing	2x5	10	Med
833	Local Government Re-organisation	Justin Ives	All Directors	3x5	15	High	Whilst the decision to re-organise local government in North Yorkshire is beyond the Councils control, there are steps that can and will be taken to ensure that non statutory services provided for the residents and businesses of Hambleton are protected.	Jan-21	3x3	9	Med

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834	Staff Capacity – Failure to provide sufficient staff of a suitable competence to deliver services and the Council Plan leads to difficulties in implementation of the corporate agenda and/or sub-standard service, performance, financial, environmental and reputational losses and legal challenge.	Steve Lister	All Service Managers	3x6	18	High	<ul style="list-style-type: none"> • Directors/Service Managers to regularly review their service requirements and available resources • Corporate capacity of the organisation to deliver the Council Plan projects and services is reviewed frequently with consideration being given to capacity by Service Managers and Directors, Programme Management Board and Management Team. This takes account of Local Government Re-Organisation, Covid-19 and other strategic pressure. • Regular management consideration of the various performance monitoring and review mechanisms to ensure delivery is on target • Continual review in light of Covid-19 as a result of the regular Government announcements for increased Local Government support. In the longer term this is connected with Disaster Recovery and Business Continuity planning and of clear importance with regards the health and well being of all staff. • There is a moratorium on recruitment with exceptions being considered by Management Team. • Management Team to undertake a review of Council priorities and capacity in Q4 2020-21 	<p>Ongoing</p> <p>Ongoing</p> <p>Quarterly review</p> <p>Ongoing</p> <p>Ongoing</p>	2x3	6	Med

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835	Business interruption due to coronavirus	Paul Staines	Paul Staines	3x5	15	High	<ul style="list-style-type: none"> •Central government plans in place- monitor daily •North Yorkshire Local resilience Forum (NYLRF) procedures. Strategic Co-ordination Group (SCG) and Tactical Co-ordination Group (TCG) have now stood up again due to the severity of the second spike. •Service Managers to review business continuity plans and plan for 30% absence in conjunction with Brexit and winter flu contingencies. •All office based staff have the capacity for home and mobile working. •Regular staff briefings carried out through newsletters and briefings to Service Manager Forum. •On site teams are provided with cleansing gels, wipes etc •Service Managers to keep up to date with guidance via GOV.UK and England.nhs.co.uk •Procedures are in place to manage a return to work, corporate risk assessment drawn up, plans in place for vulnerable staff and their relatives, working from home procedures and risk assessments completed. Outbreak management plans in place for Civic Centre. •HDC has its own recovery plan, that is reviewed monthly and is fed into the county wide recovery strategy where it is reviewed monthly. 	Apr-21	2x5	10	Med
841	Local Government Re-organisation - Failure to deliver the projects in the council plan due to loss of key staff leads to significant financial losses, reputational damage and potential legal challenge.	Justin Ives	All Directors	3x5	15	High	<ul style="list-style-type: none"> ▪ Improve the focus on the delivery of projects in the short timescale available. ▪ Good contingency planning and regular meetings. ▪ Sharing of knowledge and information in a central location. ▪ Good record keeping and documented procedure notes. ▪ Continue to make Hambleton an attractive place to work to encourage the retention of key employees. ▪ Keep staff informed of developments in a timely manner. ▪ Establish and retain good relationships with other stakeholders. ▪ Ensure that business continuity planning is robust. ▪ Maintain a positive attitude and approach to Local Government Re-organisation. 	Oct-20	2x2	4	Low

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842	Local Government Re-organisation - Failure to review the effects of the risks involved with Local Government Re-organisation on a regular basis leads to ineffective planning, resourcing and implementing of the corporate objectives.	Justin Ives	All Service Managers	2x2	4	Low	<ul style="list-style-type: none"> All risks are considered on a quarterly basis by Service Managers as part of the quarterly risk management review. The requirement to assess the Local Government Re-organisation risks will be highlighted as part of this process. Service Managers must make the review of Local Government Re-organisation risks a priority. Risks are reviewed quarterly by Management Team, Strategic Risk Management Group and Scrutiny Committee. Checks are therefore in place to ensure that a review will occur. 	Oct-20	1x1	1	Low
843	Local Government Re-organisation - Failure to maintain morale and motivation amongst staff leads to reduced performance, sub-standard service, possible sickness and possible resignation with potential reputational damage and financial losses.	Justin Ives	All Directors	4x2	8	Med	<ul style="list-style-type: none"> Re-assurance that Hambleton District Council will take an active role in the re-organisation process to ensure that the interests of staff are appropriately represented. Keep staff informed of developments in a timely manner. Provision of incentives to retain staff. Continue to support and invest in staff and to develop their knowledge and skills to motivate them in the current situation and prepare them for what the future holds. Understand what makes Hambleton an attractive place to work and continue to work with staff to carry this forward. Communicate regularly with staff on a personal level to resolve issues. Maintain a positive attitude and approach to Local Government Re-organisation. 	Oct-20	2x1	2	Low

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

Fraud and corruption continued.

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854	Failure to implement Brexit legislative changes leads to a disruption to services and an inability to service local needs - <ul style="list-style-type: none"> Internal capacity to deal with changes in regulatory services Failure to manage communications with businesses/community/voluntary leads to reputational damage 	Paul Staines	All Service Managers	2x3	6	Med	<ul style="list-style-type: none"> Engage with Local Resilience Forum partners at a strategic and tactical level using established emergency planning protocols. Communicate with service managers forum to ensure business continuity plans reflect the risk. Service managers to review legislative changes and implement necessary service changes. 	Apr-21	1x3	3	Low

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Driving Economic Vitality												
Northallerton Bridge and Road Development												
629	Northallerton Bridge and Road Development -North Northallerton project slippage: unutilised grant funding is lost if it cannot be used in line with the timetable set out in the funding agreement	Business & Economy	Mick Jewitt	Nicole Patterson & Sam Swinbank	3x5	15	High	The Council is working closely with the Developer Consortium and the relevant stakeholders to ensure the project can be delivered on time. Obligations on project delivery will seek to pass on risk of project slippage to Developer Consortium to mitigate risk to the Council. Project slippage has forced the need for a contract variation for the Local Enterprise Partnership Local Grant Funding. The Local Enterprise Partnership has agreed this and the variation – the agreement allows until October 2021 for the bridge to be delivered. A condition of the agreement is to ensure all Local Growth Fund is spent and evidenced by end of March 2021. As at 14/12/20 £756,409.87 of expenditure, or provisions of suitable evidence of expenditure remains	Mar-21	2x6	12	High
631	Northallerton Bridge and Road Development -North Northallerton Development project proceeds but its viability is detrimentally affected by loss of grant. Other development costs would have to be reduced to make the project viable.	Business & Economy	Mick Jewitt	Nicole Patterson & Sam Swinbank	2x5	10	Med	Risk has reduced on receipt of Local Enterprise Partnership Grant. Need to continue to monitor affordable & develop margin and viability for affordable housing. Project variation referenced at risk 629 will maintain the mitigation of this risk. Progress kept under review through quarterly strategic project monitoring and as part of quarterly performance review and risk management review process.	2028	1x5	5	Med
632	Northallerton Bridge and Road Development -North Northallerton Project is delayed or stalls completely, adversely affecting the Council's supply of housing and employment land.	Business & Economy	Mick Jewitt	Nicole Patterson & Sam Swinbank	5x5	25	High	The situation is monitored and regular communication maintained with the developer consortium and stakeholders to ensure delivery of project. Progress kept under review through quarterly strategic project monitoring and as part of quarterly performance review and risk management review process.	2028	3x5	15	High

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Central Northallerton Redevelopment												
738	Central Northallerton Redevelopment - The returns to the Council that are expected from the development are not received	Commercial	Louise Branford-White	Hannah Heinemann	4x4	16	High	The development of the Treadmills site is split between phase 1 and phase 2. Phase 1 is open to the public where Lidl, Iceland are operating and Unit 1 is available for Let. The financial position of the development is monitored at 2 monthly internal meetings and the Accounts sent to Cabinet on a quarterly basis as part of the Capital programme monitoring report. The profit in relation to the development of Phase 1 will be included in the reserves of the Council in Qtr. 4. Phase 2 of the development is underway where regular reports are written to Cabinet to provide an updated position. The next report is due in February 2021.	Quarterly	3x4	12	High
739	Central Northallerton Redevelopment - The site is not developed to reflect the aspirations of the Council	Commercial	Louise Branford-White	Hannah Heinemann	4x5	20	High	1. Central Northallerton Development Company Limited Board meets every 2 months. 2. Chief Executive & Deputy Leader represent the interest of the Council on this board. 3. Internal Board meeting reviews, monitors and suggests actions - meets every 6 weeks. 4. Future High Streets Funding has been provisionally approved allowing for the last phase (new built) to progress 5. Regular reports are provided to Cabinet on the development of the Treadmills site, with the next report updating the position in February 2021	6 weekly monitoring, completion date summer 2020	3x4	12	High
793	Central Northallerton Redevelopment -Treadmills Purchase Phase 1 - Changes in the retail market that impact on our investment including financial difficulties of the tenants	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Monitor at the Programme Management Board and Project Group and agree appropriate asset management strategy where appropriate.	Monthly monitoring	3x4	12	High
804	Central Northallerton Redevelopment – Increase in cost of the project once works begin due to unforeseen circumstances	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Manage project to identify issues early and identify parts of project that can be adapted. Secure additional external funding where possible.	Monitoring Monthly as Project progresses	3x4	12	High
805	Central Northallerton Redevelopment – The Council doesn't achieve the best financial return.	Commercial	Mick Jewitt	Hannah Heinemann	4x3	12	High	Communicate the wider economic and community benefits. Members would be updated at the earliest available opportunity through Cabinet and Council.	6 weekly monitoring	4x3	12	High

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806	Central Northallerton Redevelopment – Not possible to deliver the preferred scheme because of lack of retail and leisure pre-lets or viability.	Commercial	Mick Jewitt	Hannah Heinemann	3x4 12 High	Change to 'Variant' scheme or review alternative options when the market is volatile.	6 weekly monitoring	3x4 12 High
807	Central Northallerton Redevelopment – The prison site is not successfully developed because developers consider the listed buildings are too great a risk.	Commercial	Mick Jewitt	Hannah Heinemann	3x4 12 High	Undertake a detailed study showing uses and alterations that are possible and acceptable to promote developer confidence.	6 weekly monitoring	3x4 12 High
808	Central Northallerton Redevelopment – Crosby Road – The Council loses income.	Commercial	Mick Jewitt	Hannah Heinemann	3x4 12 High	Consider other actions for improving income. Identify additional commercial projects, savings and efficiencies across the Council.	6 weekly monitoring	3x4 12 High
810	Central Northallerton Redevelopment – Crosby Road – Police parking is displaced from the Crosby Road Car Park.	Commercial	Mick Jewitt	Hannah Heinemann	3x4 12 High	Central Northallerton Development Company Limited have agreed arrangements with the Police.	6 weekly monitoring	2x4 8 Med
825	Central Northallerton Redevelopment - The income generated from the asset (Treadmills Phase 2) does not cover the Council's finance costs due to voids or low rents and the cost of management	Commercial	Mick Jewitt	Hannah Heinemann	4x5 20 High	Monitor the income stream closely and maximise commercial income. Seek other sources of funding such as the Future High Street Fund. Keep members apprised of any future issues.	6 weekly monitoring	3x4 12 High
826	Central Northallerton Redevelopment - Negative publicity about Council expenditure to support the scheme (Treadmills Phase 2) and criticism from other businesses	Commercial	Mick Jewitt	Hannah Heinemann	4x4 16 High	Proactive communication plan and good media engagement regarding the wider economic and community benefits to the area	6 weekly monitoring	4x3 12 High

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Leeming Bar Employment Site												
750	Leeming Bar Employment Site – Community objection to the scheme	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	3x5	15	High	Establish Community Working Group later in 2020 to allow issues to be raised and to be addressed as part of the Scheme Development Stage. This is following the work on the Local Plan and the planning Inspectors feedback. Masterplan - in consultation with the community	Autumn 2020	3x4	12	High
Car Park Improvement Scheme												
615	Car Park Improvement Scheme — Bedale Gateway Car Park - Inability to deliver Bedale Gateway Car Park project leads to long-term damage to local economy through loss of visitors and trade.	Design & Maintenance (incl Public Lighting)	Steve Lister	Clive Thornton	3x4	12	High	Economic assessment in 2017 indicated limited if any impact on economy due to relief road. On-going monitoring of economic vibrancy of town. Review in 2020/21 but likelihood that no further action will be undertaken other than coach parking provision being incorporated at Bridge Street Car Park Bedale	Mar-21	3x2	6	Med
816	Car Park Improvement Scheme - Failure to deliver the project in accordance with the programme leads loss of reputation	Design & Maintenance	Steve Lister	Clive Thornton	3x4	12	High	The delivery of the scheme has been significantly impacted upon by the Covid-19 outbreak. This has lead to a revised delivery timescale of March 2021. All appropriate mitigatory actions have been undertaken and approval of the Car Parking Order is awaited from NYCC. HDC is liaising directly with NYCC to ensure efficiency of process.	Mar-21	3x3	9	Med
817	Car Park Improvement Scheme - Pay and Display income below budget due to changes in payment methods, parking periods and tariffs	Design & Maintenance	Steve Lister	Clive Thornton	3x4	12	High	See Risk 816. Car parks have been greatly impacted by Covid-19. A longer term approach to monitoring and review will be undertaken.	Oct-21	2x3	6	Med
Dalton Utilities Improvement												
Pro-active communications role by the Council between businesses and NPG (Northern Power Grid)												

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Enhancing Health & Wellbeing								
Northallerton Sports Village								
699	Northallerton Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended (greater risk to phases after phase 1)	Leisure & Communities	Steve Lister	Lisa Wilson	4x4 16	High • Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Northallerton • Section 106 funds have been secured (£464k) and Community Infrastructure Levy funding (£310k); and European Regional Development Fund application has been successful for £503, 706k • National Governing Bodies will be consulted in a timely fashion	2023	2x4 8 Med
Sowerby Sports Village								
745	Sowerby Sports Village (Future Phases) - Funding Plan cannot be resourced sufficiently to develop the village as intended	Leisure & Communities	Steve Lister	Lisa Wilson	4x4 16	High • Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Thirsk • National Governing Bodies will be consulted in a timely fashion – meeting held with the Football Foundation and an application will be submitted in Spring 2021 • The council has purchased a Grant Finder product	2022	2x3 6 Med
Thirsk & Sowerby Leisure Centre Improvements								
820	Thirsk & Sowerby Leisure Centre Improvements - .A contract to deliver the improved facilities was signed on 23 December 2020. A new range of risks has been identified and will be reviewed at Q4.	Leisure & Communities	Steve Lister	Colin Winfield			Aug-21	

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Community Leisure Facilities Improvements								
821	Community Leisure Facilities Improvements - Without a planned approach to investment and development of facilities there will be a deterioration in service performance, financial and reputational losses and a negative impact upon the health and well-being of residents/customers.	Leisure & Communities	Steve Lister	Colin Winfield/Dave Ashbridge	4x4 16	High	<ul style="list-style-type: none"> Develop and implement a planned approach to investment and development of leisure facilities. SLC gym refurbishment carried out, further work planned for 2020/21 Easingwold sports hall and 3g now open Funding agreed to carry out developments at Bedale Leisure Centre. 	2023 2x3 6 Med
Events and Legacy Programme								
822	Events and Legacy Programme - The Council fails to properly consider or implement events, or their legacy, for the district that are consistent with its aspirations and therefore misses out on improvement opportunities for its residents	Leisure & Communities	Steve Lister	Lisa Wilson/Colin Winfield	3x3 9	Med	<ul style="list-style-type: none"> Deliver a policy to support the provision of events and legacy projects for the district Comprehensively consider the opportunities that arise from individual events Significant impact from Covid-19 	2023 2x3 6 Med
Caring for the Environment								
Crematorium Project								
811	Crematorium Project - Increase in costs of the project once design has been developed and fully costed.	Commercial	Mick Jewitt	Hannah Heinemann	4x4 16	High	Manage project to identify issues early and identify parts of project that can be adapted. Carry out value engineering exercise with the consultant team.	Monitoring Monthly as Project progresses 3x4 12 High
813	Crematorium Project - The income from the service is less than expected and/or the operating costs are higher than anticipated.	Commercial	Mick Jewitt	Hannah Heinemann	4x4 16	High	Develop KPIs, monitor and implement improvement plans. Identify issues early. Report to Members at the earliest opportunity.	Monitoring Monthly as Project progresses 3x4 12 High

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Renewable Energy								
827	Renewable Energy - New project as approved in the 2019-23 Council Plan in September 2019. Failure to develop an energy strategy to set out how the Council plans, manages and adapts to meet its energy needs leads to reputational damage.	Design & Maintenance	Paul Staines		4x3 12 High	Set up Climate Action Group. Identify and investigate opportunities to obtain energy from renewable sources. Use regional network of officers to baseline existing usage and look for shared approaches and projects. A draft strategy was presented to Management team in Oct 2020. Group meetings paused for 2020/21 Following the announcement of local government re-organisation this project is in abeyance. Application made to the Government's De-Carbonisation Fund in January 2021 A further draft strategy is to be presented to Management Team in January 2021.	Quarterly	2x3 6 Med

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Electric Charging Points												
828	Electric Charging Points - New project as approved in the 2019-23 Council Plan in September 2019. The phased project will be developed during 2020-21 and 21-22. Failure to deliver a strategy for the introduction of an electric vehicle charging infrastructure leads to reputational damage to the Council	Design & Maintenance	Steven Lister	Clive Thornton	3x3	9	Med	Development of electric vehicle charging infrastructure strategy included within the Car Park Improvement Scheme. Consultants appointed to provide support development and implementation of the Car Park Improvement Plan. Identify and be open to opportunities outside of the car park improvement scheme to provide or facilitate the introduction of charging infrastructure and include within strategy. Priority locations have been identified. Monitor and review. Significant impact of COVID-19 on scheme delivery	Sep-21	2x2	4	Low
829	Electric Charging Points - Failure to deliver an initial phase of electric vehicle charging infrastructure in the District means the Council fails to meet the changing needs and expectations of residents and visitors	Design & Maintenance	Steven Lister	Clive Thornton	3x3	9	Med	Introduction of initial phase of charging infrastructure included within the Car Park Improvement Scheme. Consultants appointed to provide support for the development and implementation of the Car Park Improvement Plan including the provision of charging infrastructure. Identify and be open to opportunities outside of the car park improvement scheme to provide or facilitate the introduction of charging infrastructure. Priority locations have been identified.	Sep-21	2x2	4	Low
Depot Relocation Improvement												
801	Depot Relocation Review – Failure to re-locate depot and manage asbestos on site leads to inability to mitigate risk of asbestos release.	Wass	Paul Staines	Gary Brown/Sue Seddon	4x5	20	High	It is no longer planned to investigate depot relocation, due to local government re-organisation. Arcadis report showed all risks to be low or very low from residual asbestos on site. Actions have been taken to remove asbestos risk as recommended in the Arcadis Option Appraisal Report, only outstanding action is to patch the roof, this work is due Q3. All work is now complete.	Mar-21	1x5	5	Low

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Providing a Special Place to Live								
Local Plan								
115	Local Plan -Market conditions or ineffective spatial planning leads to a reduction in new homes completions and results in the Council not meeting its new homes target and consequently reduction in New Homes Bonus & Council Tax receipts.	Planning	Jon Berry / Mick Jewitt	Jon Berry	3x3 9	Med	Progress a new Local Plan for the period up to 2035 that reflects current government guidance and provides a good range of deliverable housing sites. Also work closely with developers to bring sites forward. Regular performance monitoring and good project management.	Reviewed quarterly 3x1 3 Low
116	Local Plan - Lack of resources or failure in the process leads to Local Plan being found unsound at Examination resulting in a need to repeat the process, leading to speculative planning applications and appeals.	Planning	Jon Berry / Mick Jewitt	Jon Berry	1x4 4	Low	Project planning to ensure new Local Plan is brought forward in a timely manner and is based on a robust evidence; based on sustainability appraisal, community & stakeholder engagement and that legal and procedural requirements are followed. Review Local Development Scheme annually. Investment in planning policy staff resource & software.	Review monthly 1x4 4 Low
737	Local Plan - The Plan is found to be unsound at the Examination stage	Planning	Jon Berry / Mick Jewitt	Jon Berry	2x5 10	Med	Robust evidence base has been developed. Policies to reflect government guidance. External expertise brought in to support the process. Planning Inspectorate to report August 2021.	Reviewed monthly 1x5 5 Med
763	Local plan - Ineffective spatial planning results in the Council being found to be in failure and the government intervenes.	Planning	Jon Berry / Mick Jewitt	Jon Berry	1x5 5	Med	Up to date Local Development scheme to be published. Members & officer involvement in Duty to Co-operate. Robust evidence base for strategic approach in new Local Plan	On-going 1x4 4 Low
764	Local Plan - The Local Plan is overly ambitious & cannot be justified at Examination	Planning	Jon Berry / Mick Jewitt	Jon Berry	4x4 16	High	Robust evidence base has been produced and is being consistently updated. Duty to Co-operate consultation with neighbouring Local Authorities and key stakeholders. Production of Statement of Common Ground. Strategy approach aligns with the Council's Economic Strategy, the Strategic Economic Partnership, etc	Review in line with LDS 2x4 8 Med

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Best in Class Planning service									
830	Best in Class - Staff become disengaged with the review process or concerned about potential outcomes leading to poor performance, resignations/sickness and therefore reduced capacity.	Planning	Jon Berry	Jon Berry	3x4 12	High	Review morale & staffing levels with Development Managers at weekly Development Management meeting, ensure any actions to resolve issues are identified and acted upon.	Ongoing	2x3 6 Med
831	Best in Class - iESE Review fails to deliver improvements	Planning	Jon Berry	Jon Berry	2x5 10	Med	The iESE involvement is now complete and the Chief Planning Officer is using their findings as a base to design an improvement plan, there has been some delay and requirement to amend draft plans due to Covid and emerging Local Government Re-organisation. Implement Improvement Plan.	Ongoing	1x3 3 Low
832	Best in Class - Lack of resource hampers attempts to put improvements in place	Planning	Jon Berry	Jon Berry	4x5 20	High	Review staffing levels weekly with Development Managers and action immediately to replace/backfill where necessary Chief Planning Officer in post. Brief Management Team on resource requirements	Ongoing	1x3 3 Low
Lambert Hospital Community Development									
818	Lambert Hospital Community Development - The project to separate the utilities shared by the Lambert Hospital and the linked Health Centre is not completed prior to the transfer of the hospital to Herriot Hospice and subsequent redevelopment	Design & Maintenance	Steve Lister	Clive Thornton	2x4 8	Med	Liaise with NHS properties on regular basis, attend NHS properties project meetings, gain assurance from NHS properties. Covid-19 impact on scheme delivery. Building now transferred.	Dec-20	2x3 6 Med
Vibrant Market Towns									
751	Vibrant Market Towns Project – Business Bulletins. Declining numbers on mailing list or increasing numbers of subscribers are not opening bulletin.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x3 6	Med	Keep content relevant and to the point. Continual promotion of the bulletins to businesses, and reminder promotional work internally so that Business & Economy Team can recruit a pipeline of new subscribers.	Reviewed annually/ January 2021	2x3 6 Med
752	Vibrant Market Towns Project – Town distinctiveness themes. Lack of adoption by towns.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x3 6	Med	Develop distinctiveness themes in conjunction with delivery partners in each town to ensure buy-in and support. Further development on VMT to be ongoing when return to 'normal' times following Covid-19	2020/21	2x3 6 Med

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755	Vibrant Market Towns Project – Professional Communications and Media. Social Media – a controversial post may cause offence.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	1x4 4 Low	Social Media training and guide provided to the team. The posts will be created and scheduled in advance, taking away the risk of an 'off the cuff' post. Post content will be written to avoid controversy.	Training completed April 2019 On-going	1x4 4 Low
756	Vibrant Market Towns Project –Developing the Markets offer across the district. Lack of engagement by traders.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x3 6 Med	The development and promotion of the markets is embracing all the markets in the district. Regular communications with traders has been established and will continue. The work is managed by a project management team as required.	Annual meeting with traders June 2019 Project Group meets as required	2x3 6 Med
757	Vibrant Market Towns Project – Built and Natural Environment. Periodic Town clean -up events by volunteers. Risk of injury.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x3 6 Med	The clean-up teams are equipped with hi-vis vests and appropriate equipment (e.g. pick sticks). Care will be taken to avoid heavy lifting and carrying.	Periodic when events take place	1x3 3 Low

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Driving Economic Vitality									
410	New Homes Bonus grant is pivotal to the resilience of the financial strategy. Failure to increase the tax base year on year or failure of the Government to provide the grant would impinge on this resilience.	Corporate Finance	Louise Branford-White	Louise Branford-White	3x4 12	High	The council completes a thorough review on an annual basis to identify new homes which should be included in the tax base that are currently not. The New Homes bonus grant is reviewed in the Government financial settlement annually and this will be monitored specifically for 2020/21. The 10 year financial strategy approved by Council in February 2020 recognises that the government will not support this grant in future years and therefore the amount of funding profiled has been reduced. Alternative funding methods are being sought.	Ongoing	3x4 12 High
411	Beyond 2019/20 there is a risk of further significant grant reductions should government priorities shift from increased housing provision to enhancing functions not undertaken by the Council.	Corporate Finance	Louise Branford-White	Louise Branford-White	3x4 12	High	To support the future sustainability of the 10 year financial strategy the requirement to generate income is a key objective of the Council. Projects to generate income are being developed.	Ongoing	3x4 12 High
416	Significant reduction in government grant and support from business rates leading to the inability to sustain council services at the current level.	Corporate Finance	Louise Branford-White	Louise Branford-White	4x5 20	High	An on-going programme of efficient service delivery, saving reviews and a focus on income generation that ensures best value is being achieved and income is maximised.	Ongoing	4x4 16 High
786	Failure to meet the target for business rate growth as reflected in the Financial Strategy would impact upon the financial resilience of the Council.	Revenues & Benefits	Louise Branford-White	Louise Branford-White	4x5 20	High	Monitoring of business rate growth is ongoing and opportunities are taken to retain business rates when government initiatives arise e.g. Business Rate Pilot scheme. Comprehensive Spending Review is awaited and the Council is pro-actively lobbying government with regard to potential funding being received.	Ongoing	4x4 16 High

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Enhancing Health & Wellbeing									
542	Failure to have procedures and available resources to carry out proactive and reactive inspections of potentially contaminated land resulting in: • Significant risk of harm to the environment and public health if any contamination is not remediated. • A potential significant financial burden on the Council. • Significant reputational damage.	Environmental Health	Paul Staines	Vikki Flowers	4x5 20	High	<ul style="list-style-type: none"> Documented procedures are in place and are reviewed periodically. Reactive checks are carried out to establish Class A or Class B liability groups to prevent the Council becoming responsible for contaminated sites and funding remediation costs. Information on prioritised sites is shared with Development Management for inclusion on the Council's Brownfield Land register of sites suitable for redevelopment, so the cost of remediation falls to the developer. There is no designated funding in the Environmental Health budget to carry out investigation and potential remediation of contaminated sites. 	30/06/2021 Put in place a new enforcement policy for Contaminated land work.	3x4 12 High
Caring for the Environment									
Risks for this priority were considered to be below the net risk threshold of 12 or above									
Providing a Special Place to Live									
426	Failure to properly manage joint arrangements with North Yorkshire County Council Children & Young People's Service leads to safeguarding problems with homeless children, resulting in legal challenge and personal harm	Strategic Housing	Mick Jewitt	Alison Morton	3x4 12	High	Working closely with other Local Authorities and North Yorkshire County Council to address safeguarding issues and mitigate risk. Need to ensure that despite cuts in funding, through shaping of new delivery models, there continues to be sufficient safeguarding measures in place going forward. New protocol has been implemented from 1st April 2018	Quarterly reviews	3x4 12 High
638	Community Infrastructure Levy income below expectations, leading to a lack of funding for infrastructure improvements and therefore further delivery of housing	Planning	Jon Berry	Ann Rawlinson	4x3 12	High	Procedures to be developed to pursue non payment through the Community Infrastructure Levy regulations. Income low in part due to the levels of exemptions	Quarterly review	4x3 12 High