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Agenda

Committee Administrator: Democratic Services Officer (01609 767015)

Wednesday, 23 September 2020

Dear Councillor

Notice of Meeting

Meeting **Scrutiny Committee**

Date **Thursday, 1 October 2020**

Time **9.30 am**

Venue **Virtual Meeting via Teams**

Yours sincerely

J. Ives.

Dr Justin Ives
Chief Executive

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

Other Members of the Council for information

Note: Owing to the recent Covid-19 pandemic and government guidance, the Council has made arrangements under the Coronavirus Act 2020, and subsequent Regulations permitting remote meetings, to hold the meeting virtually via Teams. For access to the meeting, please click the link on the internet to direct you to Teams or alternatively please dial the telephone number followed by the access code which is also displayed on the internet.

For further information, please contact the Democratic Services Officer, Louise Hancock, on telephone: 01609 767015 or email louise.hancock@hambleton.gov.uk

Agenda

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1. Minutes	
	To confirm the minutes of the meeting held on 13 February 2020 (SC.24 to SC.26) and 15 September 2020 (SC.1 to SC.2), previously circulated.
2. Apologies for Absence	
3. Council Performance 2020/21 (Quarter 1)	1 - 24
	Report of the Director of Finance and Commercial (s151 Officer)
4. Review of Risk Management 2020/21 - Q1	25 - 50
	Report of the Director of Finance and Commercial (s151 Officer)
5. Policy Review Work Programme 2020/21	51 - 54
	Report of the Chairman
6. Matters of Urgency	
	Any other business of which not less than 24 hours' prior notice, preferably in writing, has been given to the Chief Executive and which the Chairman decides is urgent.

Hambleton District Council

Report To: Scrutiny Committee
1 October 2020

From: Director of Finance and Commercial (s151 Officer)

Subject: **Council Performance 2020/21 (Quarter 1)**

Wards Affected: All Wards

1.0 Purpose and Background

- 1.1 The Council Plan for 2019 - 2023 in its second year, will be approved at Cabinet on 8 September 2020 and at Full Council on 15 September 2020.
- 1.2 The Council Plan shows the Council's goals with measurable outcomes in the form of Council Key Performance Indicators (KPIs). The Council's approach to performance management is designed to ensure that priorities are effectively implemented, monitored and managed to achieve real improvements in the quality of life in the local community.
- 1.3 This report provides Scrutiny Committee with details on progress towards the Council's aims. Progress is reported on a cumulative year-to-date basis, with the actual results achieved during Quarter 1 being provided which enables a comprehensive review.
- 1.4 The public has access to this information through these published reports.
- 1.5 The Council's Performance and Risks are also reported quarterly to Management Team.

2.0 Link to Council Priorities

- 2.1 An overview of performance against each Council priority is attached in Annex A.
- 2.2 In summary, 92% or 23 KPIs performed within tolerance at Quarter 1.
- 2.3 The KPI's not meeting their target or performing below tolerance at Quarter 1 are:
 - 2.3.1 Increase the number of major planning applications determined within 13 weeks, or as agreed with the applicant, to 80%.

Target at Q1 – 80%

Actual at Q1 – 67% (6 out of 9)

The three major planning applications which were determined out of time were as a result of the Chief Planning Officer, who arrived at the Council 24 February 2020, having to intervene to end negotiations with the applicants and refuse planning permission. As the outcomes were negative the

applicants would not agree extensions of time for the determinations outside of the statutory targets. The Chief Planning Officer is now directly involved in the major application processes at a much earlier stage, so they can be steered towards approval within agreed time frames or refusals can be issued within the statutory periods.

2.3.2 Deliver an additional 315 new homes by April 2021.

Target Q1 - 70	Actual Q1 – 36 (as at early June)
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As at early June there had been 36 completions. This is below target and is a reflection of the slowdown in construction activity as a result of Covid-19. The monitoring of this will be helped by a new IT system which is in the process of being implemented.

3.0 Conclusions

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

4.0 Recommendation

- 4.1 It is recommended that the Scrutiny Committee considers the progress made at Quarter 1 against the Council Plan 2019 - 2023, as detailed in Annex A of the report.

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

Background papers: Departmental Service Plans

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Council Performance Quarter 1

1 April 2020 – 30 June 2020

This report provides information on performance towards the Council Business Plan Priorities for the first quarter of 2020/21, as reported to the Management Team on 05 August 2020.

Key Priorities:

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

PRIORITY – Driving Economic Vitality				
Purpose:	Outcome:			
Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Facilitate 28 young people into local small businesses by April 2021 through apprenticeships and the graduate scheme.	28	3	3	This programme has continued to be delivered but has been impacted by Covid-19. The target is to be achieved by the end of the year.
Support £1m of new business investment in Hambleton during 2020/21.	£1m	£46,004	£46,004	This target is to be achieved by the end of the year.

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Increase footfall across Hambleton's Market Towns by 5% during 2020/21.	5%	N/A	N/A	<p>It is anticipated that a contractor will be appointed to provide GPS footfall data in all 5 market towns early in Quarter 2 for an initial 4 year period following a procurement exercise undertaken in Quarter 1. Footfall for Quarter 1 has not been measured during this process. It is expected that the Covid lockdown will have an impact on footfall during Quarter 2. Work is also being undertaken as part of the "Re-opening High Streets Safely" to survey footfall manually.</p>
Achieve a level of Business Rate collection of 97% during 2020/21.	97%	40.22%	40.22%	<p>This is slightly up on last year's collection rate at Quarter 1 which was 39.14%. £3.7 million less in actual receipts has been collected, this is due to the government providing £10.7 million of business rate relief to the council as part of the Covid-19 response.</p> <p>The Business Rate collection rate in 2020/21 has been reduced by 1% from 98% in 2019/20 due to the effect of covid-19 on collection. The Government has provided relief as described above and therefore potentially it is expected the loss on income collection may more impact 2021/22. This position will be monitored in 2020/21.</p>

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Achieve a level of Council Tax collection of 95% during 2020/21.	95%	35.45%	35.45%	<p>This is down on last year's collection rate at Quarter 1 which was 36.33%.</p> <p>£0.57 million more has been collected in actual receipts because the council tax for each person has increased.</p> <p>Due to Covid-19, instalment plans have been deferred from April 2020 to June 2020 so it is expected that collection will be lower during 2020/21 than in previous years.</p> <p>Approximately 4,000 applicants have requested deferment of instalment plans. This could potentially impact on the collection rate going forward which is why the rate for 2020/21 is 95% compared to 98% in previous years.</p>
Increase the number of major planning applications determined within 13 weeks, or as agreed with the applicant, to 80%.	80%	67% (6 out of 9)	67% (6 out of 9)	The three major planning applications which were determined out of time were as a result of the Chief Planning Officer, who arrived at the Council 24 February 2020, having to intervene to end negotiations with the applicants and refuse planning permission. As the outcomes were negative the applicants would not agree extensions of time for the determinations outside of the statutory targets. The Chief Planning Officer is now directly involved in the major application processes at a much earlier stage, so they can be steered towards approval within agreed timeframes or refusals can be issued within the statutory periods.

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Increase the number of minor planning applications determined within 8 weeks, or as agreed with the applicant, to 85%.	85%	85%	85%	This statistic of 85% comfortably exceeds national statutory targets and given the global pandemic this is a significant achievement in keeping decision making going. With greater numbers of staff now returning to the office, the capacity of the service increasing with a new Senior Planner and contractors due to join the team in August and at the beginning of September, the target of 85% should be exceeded by a distance in the next quarter. The national lockdown period has required officers to be more flexible and pragmatic in terms of agreeing extensions of time with applicants. Also further checks are required moving forward to ensure that they are only used to add value rather than for this to become the new normal.

Other activity and items of interest for this Priority during Quarter 1		
Business & Economy	Skills Village	<ul style="list-style-type: none"> ▪ Skills Village Steering Group now established and met on 21 February 2020. Successful visit to Northern Regeneration site in Scarborough, attended by Hambleton District Council Councillors, North Yorkshire County Council, Taylor Wimpey and 13 Housing Group. Training provider to be established through the in-house procurement process. ▪ Skills Village - Due to the Covid-19 pandemic the project has stalled for obvious reasons, however work has now resumed and contact made with the Steering Group to give an update by virtual meeting. Along with this, a new timeframe and potential start date is now September 2021. ▪ An opportunity has arisen to extend the scope of the project to include green construction and green energy technology installation modules with potential support from a Ministry of Housing, Communities and Local Government call for shovel ready projects. ▪ Continue to develop working relationships with the Education Sector, Small and Medium-sized Enterprises (SMEs) and developers.
	Future High Streets Fund	<ul style="list-style-type: none"> ▪ A range of projects has been worked on by the team. The funding package was pulled together and various team members are leading on certain schemes. ▪ At 7 July 2020 Cabinet the full business case was signed off for submission on 31 July 2020.
	North Northallerton	<ul style="list-style-type: none"> ▪ Taylor Wimpey & Persimmon Homes have concluded the tender process and have identified a suitable contractor. The likely delivery date is to be finalised as supply chain delays due to Covid-19 have yet to be considered. ▪ Agreement with the Local Enterprise Partnership is for the project delivery date to be October 2021. ▪ Developers have appointed a contractor and work on site is due to commence at the end of July 2020.

Other activity and items of interest for this Priority during Quarter 1		
Business & Economy	Central Northallerton	<ul style="list-style-type: none"> ▪ Supply chain issues due to Covid-19 have now been resolved but has impacted the programme for Zetland Street which is now due to be completed in August 2020. Close liaison continues with the businesses on Zetland Street. ▪ Central Arcade is repaved, just grouting, finishes and clean up remains to be done during the summer. ▪ Agreement with the Local Enterprise Partnership has occurred for the under-spend to be used on further improvements. Design of additional works is in progress. Consultation on town centre improvements is due to get underway.
	Responding to the Covid-19 outbreak	<p>The Vibrant Market Towns Team has:</p> <ul style="list-style-type: none"> ▪ Published detailed social distancing risk assessments for each of the five market towns and liaised with North Yorkshire County Council, town councils and business networks to meet the needs of each business community. A number of measures have been considered to allow for social-distancing and these plans will be reviewed and updated as lockdown restrictions are eased. ▪ 50% funded the installation of three porta-loos with Northallerton Town Council for a four week period to provide a solution to the closure of facilities at the Town Hall. ▪ Provided an active response as issues emerge regarding Covid-19 through the design, printing and distribution of a series of business packs to all high street / market place businesses in the five market towns and Great Ayton. These packs included floor stickers, posters and a copy of the Municipal Journal. Posters encouraging visitors to 'Enjoy Hambleton Safely' whilst following government social-distancing guidelines have been put up in the five market towns and Great Ayton. This work has been undertaken in compliance with European Regional Development Fund branding requirements. ▪ Circulated Covid-19 related information advice and guidance to businesses across the District through e-bulletins and other social media platforms. ▪ Provided on-going support for the Local Enterprise Growth Hub's ShopAppy scheme for businesses in Thirsk, Easingwold and Stokesley.
	C4DI	<ul style="list-style-type: none"> ▪ Two new virtual events have now been scheduled for 15 July – Agri-tech and 29 July an E-Commerce Event – both being promoted via social media and other channels

Other activity and items of interest for this Priority during Quarter 1		
Business & Economy	Vibrant Market Towns	<ul style="list-style-type: none"> ▪ A new door, window and notice board have been installed at the Easingwold Tourist Information Centre as part of a wider building refurbishment project. The project was funded by a Vibrant Market Towns grant of £3,801. A press release will be issued early in Quarter 2 and 3 2020/21. Easingwold Ward Members attended the re-opening of the Tourist Information Centre. ▪ The Vibrant Market Towns Team has been working with Beta Jester to kick start the Northallerton Augmented Reality Trail as part of the High Street Heritage Action Zone project, explored the possibility of digital training for the High Street Heritage Action Zone 'consortia' led by Sally Anderson
	Footfall Counters	<ul style="list-style-type: none"> ▪ It is anticipated that a contractor will be appointed to provide GPS footfall data in all five market towns early in Quarter 2 2020/21 for an initial four year period following a procurement exercise undertaken in Quarter 1. Footfall data for 2018/2019 and 2019/2020 will be made available so the impact of recovery measures in response to Covid-19 can be measured. ▪ A three year contract has been signed with the Local Data Company to provide the Vibrant Market Towns Team with additional sector-specific market intelligence to help determine the impact of measures to initiate the post-Covid-19 high street recovery.
	Covid-19 Grants	<ul style="list-style-type: none"> ▪ Four of the team have managed all enquiries (2789 e-mails to the Business & Economy inbox), along with Revenues and Benefits Section, and hundreds of enquiries and phone calls to individual officers for the continuing initial grants scheme and a team of five also received and assessed all the applications for the first Discretionary Grant Scheme. There were 178 applications. The second phase Discretionary Grants was launched on 29 June 2020.
	Federation of Small Businesses.	<ul style="list-style-type: none"> ▪ In this quarter we have received six applications for Federation of Small Businesses membership.

PRIORITY – Enhancing Health & Wellbeing

Purpose:	Outcome:			
<ul style="list-style-type: none"> - Improve the health and wellbeing of people by providing and supporting community inclusive facilities, activities, events and interventions - Protect consumers from health risks relating to hazardous food, drink and water supplies. - Protect residents from hazardous conditions in privately rented housing. 	<ul style="list-style-type: none"> - Increased physical activity participation rates & therefore improved health - Reduction in health threatening conditions - Improved health & wellbeing through community events, initiatives, programmes & activities - Increased child safety through learning to swim - Reduce health risks due to food safety improvements - Reduced health risk due to non-compliant private water supplies 			
Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Achieve health & fitness membership base of 3,322 in 2020/21.	3322	3284	3284	This is a year-end target and fluctuation is anticipated throughout the year. The centres have been closed due to Covid-19 for the whole of Quarter 1 and memberships frozen and/or cancelled.
Achieve 'Learn2 Swim' membership base of 2,350 in 2020/21.	2350	2198	2198	This is a year-end target and fluctuation is anticipated throughout the year. The centres have been closed due to Covid-19 for the whole of Quarter 1 and memberships frozen and/or cancelled.

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Successfully allocate 100% (£248,910) of community grants in 2020/21.	100% (£248,910)	98% £243,780	98% £243,780	The Community Grants Budget for 2020/21 is made up from the following grant funds: Making a Difference £125,000; Hambleton Help £48,700; Partnership Grants £63,810; Covid-19 Community Response £11,400 (funding brought forward from Making a Difference grant underspends in 2019/20. £5,130 of this is still available and the grant continues to be promoted. The majority of the grant fund is allocated in Quarter 1 to ensure that the budgets are spent by the end of the financial year.
Complete 100% of high/medium risk food premises inspections in 2020/21.	100%	0	0	The target at Quarter 1 is not available because instruction from the Food Standards Agency is to suspend inspection programmes due to Covid-19. Alternative methods of intervention will be provided and the target confirmed at Quarter 2 2020/21.
Complete 100% (16 of 16) of private water supply risk assessments in 2020/21	100% (16/16)	0	0	There are 16 private water supply risk assessments due. These were not be carried out in Quarter 1 and will not be carried out in Quarter 2 due to Covid-19. It is anticipated that they will be undertaken in Q3 and Q4. Q1=0 Q2=0 Q3=8 Q4=8

Other activity and items of interest for this Priority during Quarter 1		
Leisure & Communities	Water Safety	<ul style="list-style-type: none"> ▪ A campaign across Hambleton was launched and will be repeated throughout summer this is also linked to the Royal Life Saving Society Drowning Prevention Week
	Covid-19 Community Response	<ul style="list-style-type: none"> ▪ Issued grants. ▪ Worked in partnership with North Yorkshire County Council and six other districts. ▪ Supported community support organisations. ▪ Made welfare calls to medically shielded residents. ▪ Mapped parish support. This entailed sharing information about what support was available in each parish with support groups and customer services teams. The support could then be signposted to the very best that was available to the customers.

Other activity and items of interest for this Priority during Quarter 1		
Environmental Health;	Covid-19	<ul style="list-style-type: none">▪ The service has responded to the Covid-19 situation and in particular the responsibilities for enforcing Health Protection (Covid-19, Restrictions) (England) Regulations 2020 by engaging with businesses and providing advice including the activities detailed in 'Marketing and Customers' and by carrying out monitoring of the district to assess compliance with the regulations. This monitoring included carrying out proactive visits to food businesses which had changed their activities to providing a takeaway service and in response to complaints about premises closures and social distancing. Monitoring of caravan sites was also carried out. Overall very good compliance was observed regarding business closures and it was not necessary to take any formal action.▪ Some officers from the service were available over bank holiday weekends to support North Yorkshire Police if needed.▪ There is ongoing joint working with the Council's Licensing Section, North Yorkshire Police and Trading Standards and the County Council to enforce the Regulations.▪ A surveillance exercise of pubs with rooms was carried out to provide advice and guidance to those premises offering accommodation to key workers – again compliance was generally satisfactory.▪ An officer from the Commercial Team has been working with the zoo operators in the district and the Department for the Environment, Food and Rural Affairs to provide advice and support related to the Restriction Regulations.▪ With the start of the relaxation of the restriction regulations officers from the service have been engaging with businesses to support their re-opening.▪ The service has been engaging with Public Health at the County Council ready for the implementation of contact tracing/test and trace.▪ The service is also engaging with Business and Economy and the Licencing Section to implement Pavement Licenses

Other activity and items of interest for this Priority during Quarter 1		
Environmental Health	Food Safety	<ul style="list-style-type: none"> ▪ Following unsatisfactory standards identified at a butchers shop in the north of the district Hygiene Improvement Notices were served requiring the operator to carry out works to the premises and to change food safety procedures. The officer dealing with the case is working with the operator to resolve the matters detailed in the notices. ▪ As it is not possible to carry out food hygiene inspections the Food Standards Agency directed local authorities to carry out desktop surveillance of high risk food businesses, those businesses which were due revisits and new businesses. Officers in the Commercial team have been carrying out this work and where issues have been identified have carried out a visit.
	Housing / Housing Assistance	<ul style="list-style-type: none"> ▪ The Council's Housing Assistance Policy was approved via the Council's delegated authority process and is now in place and published on the Council's website. ▪ Following York City Council's successful application to the Private Rented Sector Innovation and Enforcement Grant Fund, on behalf of 21 local authorities across the Yorkshire and Humberside Region and receiving £162,393; two officers from the Residential Team were identified to undertake a BTEC legal qualification for housing enforcement officers delivered by Bond Solon. Landlord training sessions were planned to be delivered throughout the region including two per year in Hambleton – due to Covid-19 this is now on hold. ▪ The Residential Team continue to deal with complex cases and attend multi-agency Task and Finish groups facilitated by the Safer Hambleton Hub.
	Management Information System Project	<ul style="list-style-type: none"> ▪ The service together with the Licensing section is now implementing a new management information system, Cx from Civica to replace Uniform. It was accepted that any change of management information system poses a significant challenge however it could never have been anticipated that this change would take place under the current circumstances. Virtual training sessions have been taking place which have been altered as result of our feedback to provide a more fit for purpose for virtual delivery model and Civica are currently reviewing this model to make further improvements. The project is being managed through weekly meetings with the project management team (officers from Environmental Health, Licensing and ICT and Civica) and monthly internal meetings chaired by Paul Staines, Director of Environment. The intention is that currently the 'go live' deadline will still be met however through the project management arrangements progress is under constant review.

PRIORITY – Caring for the Environment

Priority – Caring for the Environment				
Purpose:	Outcome:			
Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Maintain a recycling rate of 50%.	50%	51.12%	51.12%	It is recognised that the impact of Covid-19 will be unknown over the year and the position will continually be monitored.
Monitor the effectiveness of the fly tipping and littering enforcement policy.	100%	100%	100%	Continuing to monitor fly tipping across the district, considering using hard hitting signage in trial areas.
Facilitate 52 community litter picks in 2020/21	52	20	20	20+ unrecorded litter picks are suspected to have been undertaken, unidentified sacks (typical litter pick contents) left beside litterbins. All volunteer groups to be reminded to 'log' when sacks are ready for collection. Monitored via social media for the time being.
Ensure that 20 electric vehicle charging points are provided within the district in 2020/21.	20	3	3	Provision of electric vehicle charging points available to the public Profile: Q1 – 3 Market Place Thirsk – 1 Auction Mart Bedale – 1 Millgate Thirsk – 1 Q2 – 0; Q3 – 8; Q4 – 9

Other activity and items of interest for this Priority during Quarter 1		
Waste and Street Scene	Risk Assessments – Covid-19	<ul style="list-style-type: none"> ▪ Risk assessments so as to allow on site staff attendance to enable service delivery
	Joint initiative with North Yorkshire Police	<ul style="list-style-type: none"> ▪ Cannabis fly tips; area of highest volume identified to be investigated jointly with North Yorkshire Police. Some “spent” cannabis fly tip finds upwards of 1 tonne in weight. All reports logged and investigated

PRIORITY – Providing a Special Place to Live

Purpose: <ul style="list-style-type: none"> - Provide an adequate amount of housing to meet the housing needs of all - Provide support to residents to prevent homelessness - Support people to lead independent lives - Shape places across the district through the Local Plan 	Outcome: <ul style="list-style-type: none"> - Housing sites are made available for market and affordable housing - Achieve housing for all - Provide financial support for residents to live in the district independently - Provide support to residents to prevent homelessness 			
Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Maintain, each year, a minimum 5-year supply of deliverable housing sites.	5yrs	9yrs	9yrs	<p>9+ years housing supply at Quarter 1 2020/21, this is consistent with Quarter 4 2019/20.</p> <p>Due to a change in database systems full data will become available in Quarter 2 2020/21.</p>
Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Adopt the new Local Plan by March 2021.	100%	On track	On track	The examination stage will take place in Quarter 3 2020/21. It is anticipated that the report from the Planning Inspectors will be received in Quarter 4 2020/21 before the plan is formally adopted.

Deliver an additional 315 new homes by April 2021.	315	36 (to early June)	36	As at early June there had been 36 completions. This is below target and is a reflection of the slowdown in construction activity as a result of Covid-19. The monitoring of this will be helped by a new IT system which is in the process of being implemented.
Ensure 100% of homelessness decisions are made within 56 days.	100%	100%	100%	Achieved.
Ensure a total of 85% of funds for disabled facilities applications is spent.	85% (£396,964)	45.87% (£214,240) committed 6.57% (£30,680.17) spent	45.87% (£214,240) committed 6.57% (£30,680.17) spent	£214,240 committed. Close monitoring will be required to ensure the budget is not over spent.

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Process new housing benefit claims within 20 days in line with North Yorkshire authorities.	20 days	17.63 days	17.63 days	<p>Year to date, 78 claims processed, taking 1,375 days. Average processing time per claim 17.63 days.</p> <p>Housing Benefit is gradually being replaced by Universal Credit. However, Universal Credit does not deal with the more complicated cases which still fall under the Local Authorities Housing Benefit function. The number of claims processed has remained static since 2019.20 Quarter 3 and Quarter 4 averaging 26 claims per month.</p> <p>Speed of processing can also be affected by local changes to staffing and to the section. Care should therefore be taken when making comparisons with other Local Authorities.</p>
Process new council tax claims within 20 days in line with North Yorkshire authorities.	20 days	18.67 days	18.67 days	<p>Year to date, 1,355 claims processed, taking 25,293 days. Average processing time per claim 18.67 days.</p> <p>909 more new claims were received this quarter than in same quarter for 2019/20. This is due to the impact of Covid-19 and is being monitored.</p>

Indicator	Target / Benchmark	Quarter 1	YTD	Q1 Actions / Comment
Process housing benefit changes in circumstance within 5 days in line with North Yorkshire authorities.	5 days	2.38 days	2.38 days	<p>Year to date, 1,731 changes in circumstances processed, taking 4,113 days. Average processing time per claim 2.38 days.</p> <p>Housing Benefit is gradually being replaced by Universal Credit. However, Universal Credit does not deal with the more complicated cases which still fall under the Local Authorities Housing Benefit function. This affects the number of days taken to process changes in circumstance.</p> <p>Speed of processing can also be affected by local changes to staffing and to the section. Care should therefore be taken when making comparisons with other Local Authorities.</p>
Process council tax changes in circumstance within 5 days in line with North Yorkshire authorities.	5 days	1.74 days	1.74 days	<p>Year to date, 7,045 changes processed, taking 12,274 days. Average processing time per claim is 1.74 days.</p> <p>3,133 more changes in circumstances were processed compared with this quarter in 2019/20.</p>

The tables below show the comparison across North Yorkshire Councils for the processing times for new claims and changes in circumstances. Where there are 'gaps', this information is not available. Going forwards it is anticipated that this data may not be

available on a quarterly basis as the Department of Work & Pensions are only now meeting with Councils on a 6 monthly basis. This is due to the ongoing roll out of Universal Credit and the change in volumes of work undertaken by Councils.

NEW CLAIMS PROCESSING TIMES in days (recorded in arrears)

North Yorks Region	2017-18		2018-19		2019-20		2020/21 Q1		2020/21 Q2		2020/21 Q3		2020/21 Q4	
	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben
Craven	18.49	19.52	21.02	19.63	21.28	11.31	/	/						
Harrogate	25.34	22.98	26.29	23.79	26.99	23.62	33.33	24.65						
HAMBLETON	25.61	20.76	15.03	15.34	13.40	17.06	18.67	17.63						
Scarborough	17.60 (Q3 only)	19.90	17.47	21.83	10.86	14.42	11.39	11.40						
Selby	22.54	21.86	22.82	21.04	23.28	19.06	20.29	26.35						
Richmondshire	18.60 (Q2 only)	16.66	17.96	34.34	26.57	25.48	27.93	27.15						
Ryedale	28.60	23.96	27.36	16.81	16.92	14.12	17.94	8.34						

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

North Yorks Region	2017-18		2018-19		2019-20		2020/21 Q1		2020/21 Q2		2020/21 Q3		2020/21 Q4	
	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben	C/Tax	H/Ben
Craven	7.40	4.49	6.15	5.69	3.38	4.53	/	/						
Harrogate	7.55	6.22	6.20	4.32	5.16	3.33	5.56	4.5						
HAMBLETON	6.24	5.78	2.99	2.70	2.10	2.32	1.74	2.38						
Scarborough	5.60(Q3 only)	4.68	6.42	5.00	6.0	3.25	9.31	4.12						
Selby	3.99	4.55	5.17	3.66	3.23	2.85	2.09	3.15						
Richmondshire	4.90(Q2 only)	3.29	6.37	2.89	0.70	2.99	2.08	5.27						
Ryedale	11.98	6.28	5.12	3.37	1.70	2.40	1.21	1.65						

Other activity and items of interest for this Priority during Quarter 1		
Customer Services	Covid-19	<ul style="list-style-type: none"> ▪ The impact of Covid-19 has been dramatic upon Customer Services who have provided a continual service to customers. The service has had to adapt to the demands and changes to processes with a reduced staffing capacity.
	Council Tax	<ul style="list-style-type: none"> ▪ Seasonal high level of customer demand as expected following council tax annual despatch., which has also been impacted by Covid-19.
	Garden Waste	<ul style="list-style-type: none"> ▪ Ongoing demand for garden waste renewals total income as at 10 July 2020 £895,280 (99.9% of Year 3) with 22,382 subscriptions for 21,248 properties. To date 68.5% of customers have used the self-serve online system and 31.5% of customers have been supported through the process by Customer Services.
Communications	Press Releases	<ul style="list-style-type: none"> ▪ The Communications Team issued 47 press releases with 16 press photographs.
	Graphic Design	<ul style="list-style-type: none"> ▪ Within Communications the Graphic Designers completed 56 design requests.
	Social Media	<ul style="list-style-type: none"> ▪ Substantial resource continues to be provided to the in-house operation of corporate Facebook and Twitter social media accounts for analytics, pro-active and reactive posts. Increasing numbers of customers are actively using social media as a channel to communicate with the council in a growing channel shift.
	Covid-19	<ul style="list-style-type: none"> ▪ The Communications function has played a key role following the impact of Covid 19 upon the services and the public.
ICT	Microsoft Teams implementation	<ul style="list-style-type: none"> ▪ Teams became an effective communication tool to reach staff working from home; it also enables the Council to host virtual meetings to include external organisations.
	Support home working workforce	<ul style="list-style-type: none"> ▪ By upgrading the Terminal Server, bandwidth consumption was reduced for heavy users in the back offices. The network performance has been holding up for the whole organisation while it is only on 100M internet bandwidth. The capacity for staff to work from home at the same time has been steadily improved from 55% (23 March) to 100% (22 June).
	Softphone implementation	<ul style="list-style-type: none"> ▪ This technology enables staff to answer the phone at home through the laptop, in the same way as using a telephone in the office. Consequently Customer Services staff are able to work from home to answer public enquiries.

Other activity and items of interest for this Priority during Quarter 1		
Legal Services	Committee Services	<ul style="list-style-type: none"> ▪ Although Members and officers are not currently on site at the Civic Centre, Member Support continues to be provided through internet, telephone and Microsoft Teams. ▪ Chairman's Civic Duties are not currently being undertaken in accordance with Government guidance. We continue to receive notifications of birthdays and anniversaries and these are organised remotely with no physical presence.
	Electoral	<ul style="list-style-type: none"> ▪ Holding an election in light of Covid-19 – the Electoral Services Team Leader is in consultation with the Association of Electoral Administrators to consider different likely scenarios for holding an election during the pandemic.
	Legal	<ul style="list-style-type: none"> ▪ Legal Assistant to commence Legal Practice Course in September 2020

Agenda Item 4

Hambleton District Council

Report to: Scrutiny Committee
1 October 2020

From: Director of Finance and Commercial (s151 Officer)

Subject: **Review of Risk Management – 2020/21 Q1**

Wards Affected: All Wards

1.0 Purpose and Background

- 1.1 The principles of the CIPFA Framework Delivering Good Governance in Local Government require Hambleton District Council to be responsible for putting in place proper arrangements for the governance of its affairs and facilitating the effective exercise of its functions, which includes arrangements for the management of risk.
- 1.2 The Council has a robust risk management process in place which includes a comprehensive risk register. The register captures all risks identified as presenting a threat or opportunity which may impact the Council's service delivery. The Council's Risk Management Framework provides information and guidance on the authority's risk appetite and risk management process. The updated Risk Management Framework was approved by Audit, Governance and Standards Committee on 22 October 2019 and 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 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.
- 1.6 Audit, Governance and Standards Committee receive the Risk Register annually in October and also if significant changes are made, on an adhoc basis.
- 1.7 The process of managing risk is approved by Audit, Governance & Standards Committee on an annual basis in the Annual Governance Statement. This is included in the draft annual report - statement of accounts – published on the website on 30 June 2020. It will be presented to the Audit Governance and Standards Committee with the annual report at the next available opportunity in October 2020. The Annual Governance Statement is being approved in October along with the Statement of Accounts due to the change in the timetable because of the Covid-19 pandemic.

2.0 Risk Management Process

- 2.1 During Q1, three new corporate risks were added to the Council's risk register relating to Local Government Re-organisation.
 - 2.2 In Q1, 204 risks were changed, 23 new risks were identified and one risk was closed. The authority currently holds a total of 498 active risks across all service areas.
 - 2.3 Extracts of the current risk register displaying active Corporate Risks at Q1 are attached at Annex A, Key Corporate Project Risks are attached at Annex B and Service Risks with a Net Risk Threshold of 12 or above are attached at Annex C.

3.0 Risk Management

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

4.0 Recommendations

- 4.1 It is recommended that the Committee note:

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

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

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

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Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN			ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level					Likelihood : Impact	Score	Risk Level
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.	All Services	Paul Staines	All Service Managers	2x5	10	Med	• HDC implements suitable arrangements where all services work to the Council's Health and Safety Policy and arrangements for lone working. • Service action plans in place including: - Specific service risk assessment & practice in place - All relevant staff to receive Health & Safety training - A system of monitoring and review is being implemented where Health & Safety Group monitor risk assessment management and associated Key Performance Indicator's. Audit 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.	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.	All Services	Paul Staines	All Service Managers	5x5	25	High	Each service to implement their service specific action plan to undertake service risk assessments and workplace inspections annually. Services to work to the HDC Health & Safety Policy and arrangements for risk assessments. Professional support is bought in from NYCC Health and Safety Team under a three yearly service level agreement. Some risk assessment reviews may be late in Q2/Q3 2020/21 due to Covid considerations. This does not affect the overall risk.	Ongoing	1x5	5	Low		

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN			ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level					Likelihood : Impact	Score	Risk Level
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.	All Services	Paul Staines	All Service Managers	1x5	5	Med	Business continuity policy, procedure and plans are in place across the organisation and all service managers are engaged. ICT liaise with services to provide resilience in line with the business needs. BC plans are reviewed annually as part of service planning. HDC buy in specialist advice from NYCC Resilience and Emergencies Team. Covid 19 is still in the response phase , though measures are being taken to move into recovery, this is a fluid situation and will change according to government guidance. A full review of the authority's Business Continuity arrangements, especially as they relate to pandemics, will be scheduled once recovery has been settled. This will be led by Paul Staines with advice from NYCC Resilience and Emergencies Team. The timescale is dependent upon a number of factors including the possibility of a second or even third wave.	Review Business Continuity Plans Q4 2020/21	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.	All Services	Gary Nelson	Laura Venn & All Services	2x3	6	Med	Retention and destruction of documentation in accordance with the Information Asset Register. Annual review of service area records management in line with Document Retention Policy and all staff to receive Data Protection training/ General Data Protection Regulation updates.	On going	2x2	4	Low		

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN			ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level					Likelihood : Impact	Score	Risk Level
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.	All Services	Helen Kemp	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 commenced on updating the web platform to ensure compliance with web accessibility legislation being introduced September 2020 are ongoing, whilst there are delays introduced due to the Covid-19 response these are expected to be absorbed in the flex that was built into the programme, no delay to final deliverability is expected. 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 Q3.	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	All Services	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.	All Services	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 being reviewed and a revised financial strategy to be presented to cabinet and council in the Autumn.	Annually - February and Quarterly monitoring	1x3	3	Low		

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					Likelihood : Impact	Score	Risk Level	Likelihood : Impact	Score	Risk Level		Likelihood : Impact	Score	Risk Level
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.	All Services	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	All Services	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		

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
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	All Services	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.	Ongoing	1x3	3	Low
823	Failure to take action on climate change leads to adverse impacts on the local and global environment and damages the council's reputation.	CORP	Paul Staines	All Service Managers	3x5	15	High	A schedule has been drawn up documenting all services' carbon saving measures and plans to reduce carbon in the future. Working with other authorities regionally and sub regionally on positive actions, also supporting communities to take positive actions. Internal working group has been established and is baselining energy usage. A strategy is being drawn up to go to the Management team in Q2 2020	Continuously monitored and reviewed	2x4	8	Med

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN			ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level					Likelihood : Impact	Score	Risk Level
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	All Services	Louise Branford-White	Jenny Pan	3x5	15	High	• 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		
830	Local Government Re-organisation	All Services	Justin Ives	All Directors	3x5	15	High	Whilst the decision to reorganise local government in North Yorkshire is beyond the Council's 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		

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN			ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level					Likelihood : Impact	Score	Risk Level
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.	All Services	Louise Branford-White	All Service Managers	2x5	10	Med	<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 Council Plan projects was reviewed in Qtr. 4 2019/20 and a process exists to report to Project Management Board on a monthly basis • Regular management consideration of the various performance monitoring and review mechanisms to ensure delivery is on target • Periodic review by Management Team of corporate management capacity to deliver Council Plan • Currently continual review in light of COVID-19 as a result of the regular Government announcements for increased Local Government support. ICT implications are being considered along with other pressures across the Council. In the longer term this is connected with Disaster Recovery and Business Continuity planning and of prior importance is the Health and Well Being of all staff. 	Quarterly review	1x3	3	Low		
835	Business interruption due to coronavirus	All Services	Paul Staines	Paul Staines	3x5	15	High	<p>Central government plans in place- monitor daily</p> <p>North Yorkshire Local resilience Forum (NYLRF) procedures. Strategic Co-ordination Group (SCG) and Tactical Co-ordination Group (TCG) have now stood down and been replaced by a Multi Agency Meeting.</p> <p>Service Managers to review business continuity plans and plan for 30% absence</p> <p>IT to prepared for extra demand for home and mobile working</p> <p>Staff briefings to be carried out on business continuity and symptoms and preventative measures</p>	Ongoing	2x5	10	Med		

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN			ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level	Likelihood : Impact	Score	Risk Level		Likelihood : Impact	Score	Risk Level
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.	All Services	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		
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.	All Services	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		

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK	ACTION PLAN			ACTION PLAN timeline / completion date	NET / RESIDUAL RISK			
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	Helen Kemp	Nicole Patterson & Sam Swinbank	3x5	15	High	The Council is working closely with the Developer Consortium and the relevant stakeholders to ensure the project can be delivered on time. Obligations on project delivery will seek to pass on risk of project slippage to Developer Consortium to mitigate risk to the Council. Project Slippage has forced the need for a contract variation for the Local Enterprise Partnership Local Grant Funding. The Local Enterprise Partnership has agreed this and the variation is being progressed but a revised delivery timetable needs to be fixed by the developer in order for this to be progressed. Bridge - None of the tender submissions received (total of 5 contractors bid) allowed for the delivery of the bridge by March 2021, likely delivery date September 2021 although supply chain delays due to Covid-19 have yet to be considered. Liaising with the LEP regarding the issues this raises with Local Growth Fund contract	Mar-22	2x6	12	High	
631	Northallerton Bridge and Road Development -North Northallerton Development project proceeds but its viability is detrimentally affected by loss of grant. Other development costs would have to be reduced to make the project viable.	Business & Economy	Helen Kemp	Nicole Patterson & Sam Swinbank	2x5	10	Med	Risk has reduced on receipt of Local Enterprise Partnership Grant. Need to continue to monitor affordable & develop margin and viability for affordable housing. Project variation referenced at risk 629 will maintain the mitigation of this risk.	2028	1x5	5	Med	

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK	ACTION PLAN			ACTION PLAN timeline / completion date		NET / RESIDUAL RISK	
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	Helen Kemp	Nicole Patterson & Sam Swinbank	5x5	25	High	The situation is monitored and regular communication maintained with the developer consortium and stakeholders to ensure delivery of project	2028	3x5	15	High
Central Northallerton Redevelopment												
738	Central Northallerton Redevelopment - The returns to the Council that are expected from the development are not received	Commercial	Louise Branford-White	Hannah Heinemann	4x4	16	High	Monitor the Joint Venture Company Budget quarterly for phase 1 and support the development of phase II.	Quarterly	3x4	12	High
739	Central Northallerton Redevelopment - The site is not developed to reflect the aspirations of the Council	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.	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.	Monitoring Monthly as Project progresses	3x4	12	High

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK		ACTION PLAN			ACTION PLAN timeline / completion date			NET / RESIDUAL RISK		
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.		6 weekly monitoring	4x3	12	High		
806	Central Northallerton Redevelopment – Not possible to deliver the preferred scheme because of lack of retail and leisure pre-lets or viability.	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.		6 weekly monitoring	3x4	12	High		
809	Central Northallerton Redevelopment – Crosby Road – A precedent could be created for similar arrangements on offers, promotions and incentives in other Council car parks.	Commercial	Mick Jewitt	Hannah Heinemann	3x4	12	High	Explain the unique reasons for the arrangements at Crosby Road. Explore proposals for other Council car parks where appropriate.		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 agree arrangements with the Police. The Police make alternative provision.		6 weekly monitoring	3x4	12	High		

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK	ACTION PLAN	ACTION PLAN timeline / completion date		NET / RESIDUAL RISK		
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	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
Page 58 Leeming Bar Employment Site											
758	Leeming Bar Employment Site – Community objection to the scheme	Business & Economy	Helen Kemp	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	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. Work being undertaken to determine possible partners and funding options to deliver car park. On-going monitoring of economic vibrancy of town. Review in 2020/21. Consideration being given to provision of coach parking bays.	Dec-20	3x3	9	Med

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK	ACTION PLAN		ACTION PLAN timeline / completion date	NET / RESIDUAL RISK			
816	Car Park Improvement Scheme - Failure to deliver the project inaccordance with the programme July 2018 – July 2020 loss of reputation	Design & Maintenance	Steve Lister	Clive Thornton	3x4	12	High	Monitor scheme progress and manage robustly delays in delivery. Consultant employed to support project delivery. Internal monthly meetings to monitor progress. Project meetings on monthly basis with consultant supported by monthly written progress reports. Regular updates required to Management Team and monthly updates with Portfolio Holder. Liaise with North Yorkshire County Council to manage the Parking Order variation process. COVID-19 Impact on scheme delivery	Dec-20	2x3	6	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	Retain cash payments, introduce debit and credit card payments and introduce payment by smartphone application. Model income based on new payments methods. COVID-19 impact on scheme delivery.	Dec-20	2x3	6	Med
Dalton Utilities Improvement												
Not a project; more of a communications role between businesses and NPG (Northern Power Grid)												
Enhancing Health & Wellbeing												
Northallerton Sports Village												
699	Northallerton Sports Village - 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 Northallerton • Some Section 106 funds have been secured (£300k) • National Governing Bodies will be consulted in a timely fashion	2025	3x4	12	High
Sowerby Sports Village												

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK	ACTION PLAN		ACTION PLAN timeline / completion date	NET / RESIDUAL RISK
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	<ul style="list-style-type: none"> • A Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Sowerby. • National Governing Bodies will be consulted in a timely fashion • The council has purchased a Grant Finder product 	2022	2x3 6 Med
836	Sowerby Sports Village - delays to construction of access result in reputational and financial damage.	Leisure & Communities	Steve Lister	Lisa Wilson	3x4 12	High	<ul style="list-style-type: none"> • Works have started on time and a programme of works has been agreed and is being closely monitored. • Strict COVID-19 protocols are being adhered to • Ongoing communications between Department for Education and the school 	2020	2x4 8 Med
Paged 40 Thirsk & Sowerby Leisure Centre Improvements									
820	Thirsk & Sowerby Leisure Centre Improvements - Presently at feasibility stage. Risks will be identified if a decision is made to progress the project. Decision made to progress to Cost Confidence Report due in April 2020. Cost confidence report received, report to go to cabinet in September regarding progressing to Cost Certainty.	Leisure & Communities	Steve Lister	Colin Winfield			New Project - Action plan to still to be established. Report due Summer 2020. Internal project meetings in place whilst decision on project progress is made.		
Community Leisure Facilities Improvements - Bedale, Easingwold and Stokesley									
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 	2023	2x6 6 Med

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK	ACTION PLAN	ACTION PLAN timeline / completion date			NET / RESIDUAL RISK					
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 			2023	2x3	6	Med	
Caring for the Environment															
Part 4 Part 5	Crematorium Project														
	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	
	Crematorium Project - An alternative scheme by a competitor could be submitted for planning permission.	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Proceed with the project expeditiously. Review planning application by planning barrister to ensure the Council has submitted the best possible scheme and has given due consideration to all relevant matters.			Monitoring Monthly as Project progresses	3x4	12	High	
	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.			Monitoring Monthly as Project progresses	3x4	12	High	
Renewable Energy															

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK	ACTION PLAN	ACTION PLAN timeline / completion date		NET / RESIDUAL RISK			
827	Renewable Energy - New project as approved in the 2019-23 Council Plan in September 2019. The Project will be developed during quarter 4 2019-20. 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. Develop environmental strategy. 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.	Quarterly	2x3	6	Med
Electric Charging Points												
828	Electric Charging Points - New project as approved in the 2019-23 Council Plan in September 2019. The Project will be developed during quarter 4 2019-20. 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. COVID-19 impact on scheme delivery.	Monthly Jul-20 to Mar-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.	Monthly Jul-20 To Mar-21	2x2	4	Low
Depot Relocation Review												

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK	ACTION PLAN		ACTION PLAN timeline / completion date	NET / RESIDUAL RISK
801	Depot Relocation Review - Depot Layout Review -- Darlington Road Depot Project to review layout and manage asbestos on site fails to mitigate risk of asbestos release and enable increase in fleet and resources in the short term. MT report due July 2020.	Wass	Paul Staines	Gary Brown/ Sue Seddon	4x5 20	High	Arcadis delivered options appraisal for the existing site and alternative location proposals in July 2020. Project scope to be revised in the light of local government reorganisation.	Mar-21	2x5 10 Med
802	Depot Relocation review - Digital Depot Project fails to meet objectives	Wass	Paul Staines	Gary Brown/ Sue Seddon	4X5 20	High	Project risk register to be managed at all project meetings and appropriate action taken to ensure delivery plan achieved. Project group set up. Technical advice brought in from Scarborough BC.	Dec-20	2x4 8 Med
815	Depot relocation Review – to identify suitable land for relocation for the medium to long term requirements of WASS – as per MT report. Management Team report due July 2020.	Wass	Paul Staines	Gary Brown/ Sue Seddon	2X5 10	Med	Project risk register to be managed at all project meetings and appropriate action taken to ensure delivery plan achieved. Project reporting via Project Management Board. Suitable land is not presently available as per Arcadis report July 2020. However, project scope to be revised in the light of local government re-organisation	Mar-21	2x4 8 Med
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	Helen Kemp	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

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN			ACTION PLAN timeline / completion date			NET / RESIDUAL RISK		
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	Helen Kemp	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 requirements are followed. Review Local Development Scheme annually. Local Planning Enforcement consultants checking document prior to Publication. Investment in planning policy staff resource & software.	Review monthly		1x4	4	Low			
737	Local Plan - The Plan is found to be unsound at the Examination stage	Planning	Helen Kemp	Jon Berry	2x5	10	Med	Robust evidence base is being developed. Policies to reflect government guidance. Plan is to be checked by experts prior to Publication. Planning Inspectorate to report Autumn 2020.	Autumn 2020		1x5	5	Med			
760	Local plan - Ineffective spatial planning results in the Council being found to be in failure and the government intervenes.	Planning	Helen Kemp	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	Helen Kemp	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 Local Development Scheme		2x4	8	Med			
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	Helen Kemp	Jon Berry	3x4	12	High	Review morale & staffing levels with DMs at weekly DM meeting, ensure any actions to resolve issues are identified and acted upon Receive feedback from iESE and agree what is to be communicated to the teams Issue Newsletter and schedule full briefing from iESE/JI	Ongoing 21 Jan 2020 W/C 27 January 2020		2x3	6	Med			

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN			ACTION PLAN timeline / completion date			NET / RESIDUAL RISK		
831	Best in Class - iESE Review fails to deliver improvements	Planning	Helen Kemp	Jon Berry	2x5	10	Med	Maintain regular reviews with iESE to understand progress and findings. Design improvement plan based on findings. Implement Improvement Plan.			Ongoing w/c 21 Jan 2020		1x3	3	Low	
832	Best in Class - Lack of resource hampers attempts to put improvements in place	Planning	Helen Kemp	Jon Berry	4x5	20	High	Review staffing levels weekly with DMs and action immediately to replace/backfill where necessary Chief Planning Officer in post			Ongoing 24 Feb 2020		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,			Aug-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	Helen Kemp	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 B&E team can recruit a pipeline of new subscribers.	Reviewed annually/ January 2020			2x3	6	Med		
752	Vibrant Market Towns Project – Town distinctiveness themes. Lack of adoption by towns.	Business & Economy	Helen Kemp	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		

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN			ACTION PLAN timeline / completion date			NET / RESIDUAL RISK		
755	Vibrant Market Towns Project – Professional Communications and Media. Social Media – a controversial post may cause offence.	Business & Economy	Helen Kemp	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	Helen Kemp	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	Helen Kemp	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				

Risk ID	Risk Name	Status	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK	ACTION PLAN	ACTION PLAN timeline / completion date		NET / RESIDUAL RISK			
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.	Active	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.	Active	Corporate Finance	Louise Branford-White	Louise Branford-White	3x4	12	High	To support the future substanability 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
Page 7	A continued low Bank Base Rate would impact on the Council's ability to generate investment income from balances.	Active	Corporate Finance	Louise Branford-White	Saskia Calton	4x2	8	Med	The market is continually monitored and estimates made for future investment income which are included in the financial strategy	Monitored daily	4x2	8	Med
	Significant reductions in government grant leading to the inability to sustain council services at the current level.	Active	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
	Failure to meet the target for business rate growth as reflected in the Financial Strategy would impact upon the financial resilience of the Council.	Active	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
	Commercial Property Portfolio - Management of costs increasing or higher than expected	Active	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Careful choice of property, tenants as well as monitoring through the Investment Board and Property Investment Advisor	Quarterly monitoring	3x4	12	High

Risk ID	Risk Name	Status	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK	ACTION PLAN	ACTION PLAN timeline / completion date		NET / RESIDUAL RISK		
795	Commercial Property Portfolio - Rental income reducing due to business failures or delay in reletting units	Active	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16 High	Careful monitoring through the Investment Board and property investment advisor, also advice from Property Investment Advisor regarding market intelligence.	Quarterly monitoring	3x4	12	High
796	Commercial Property Portfolio - Legislation introduced that prohibits Local Authorities to borrow for commercial profit	Active	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16 High	Continue to review and monitor current regulations and legislation.	Quarterly monitoring	3x4	12	High
797	Commercial Property Portfolio - There is insufficient knowledge within the Council to support this commercial investment	Active	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16 High	Regular monitoring reports from Property Investment Advisor should minimise this risk.	Quarterly monitoring	3x4	12	High
Enhancing Health & Wellbeing												
540 80 48	Failure to have procedures and available resources to carry out proactive and reactive inspections of potentially contaminated land resulting in: <ul style="list-style-type: none">• Significant risk of harm to the environment and public health if any contamination is not remediated.• A potential significant financial burden on the Council.• Significant reputational damage.	Active	Environmental Health	Paul Staines	Vikki Flowers	4x5	20 High	<ul style="list-style-type: none">• Documented procedures are in place and are reviewed periodically.• Reactive checks are carried out to establish Class A or Class B liability groups to prevent the Council becoming responsible for contaminated sites and funding remediation costs.• Information on prioritised sites is shared with Development Management for inclusion on the Council's Brownfield Land register of sites suitable for redevelopment, so the cost of remediation falls to the developer.• There is no designated funding in the Environmental Health budget to carry out investigation and potential remediation of contaminated sites.	Dec-20	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												

Risk ID	Risk Name	Status	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK	ACTION PLAN	ACTION PLAN timeline / completion date		NET / RESIDUAL RISK		
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	Active	Strategic Housing	Helen Kemp	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.	Active	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

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Hambleton District Council

Report To: Scrutiny Committee
1 October 2020

From: Chairman of Scrutiny Committee

Subject: Policy Review Work Programme 2020/21

All Wards

1.0 Summary

1.1 The purpose of this report is to invite the Committee to consider whether:-

- (a) to carry out an in-depth policy review during 2020/21; or
- (b) to postpone an in-depth policy review at the current time due to the exceptional circumstances surrounding the COVID-19 pandemic.

2.0 Background

2.1 Due to the current circumstances in relation to the ongoing COVID-19 pandemic, the Committee is asked to consider whether it would be feasible to carry out a successful in-depth policy review at this time.

2.2 The Council's Constitution suggests as a guideline that the Council's Scrutiny Committee should undertake two policy reviews each year, although the Committee has decided in the past to concentrate on one large annual policy review only.

2.3 The Committee is scheduled to meet on four more occasions, namely 19 November 2020, 21 January 2021, 18 February 2021 and 18 March 2021. With COVID-19 restrictions ongoing, and with the other responsibilities which the Committee undertakes, the Committee may take the view that it is not feasible to successfully conclude an in-depth policy review and to finalise its report over the course of its next four meetings.

2.4 If it is the Committee's wish that an in-depth policy review is undertaken, it will be necessary for the Committee to identify an appropriate topic, to establish terms of reference, to timetable the evidence gathering stages and to finalise the report on its findings. In considering topics for review the Committee is asked to consider the Priority Themes as set out in the Council Plan which are as follows:

Driving Economic Vitality:

During 2020/21 the Council aims to:

- Facilitate 28 young people into local small businesses through apprenticeships and the graduate scheme
- Support £1m of new business investment in Hambleton
- Increase footfall across Hambleton's market towns by 5%

- Achieve a level of business rate collection of 97%
- Achieve a level of council tax collection of 95%
- Increase the number of major planning applications determined within 13 weeks, or as agreed with the applicant, to 80%
- Increase the number of minor planning applications determined within 8 weeks, or as agreed with the applicant, to 85%

Enhancing Health and Wellbeing:

During 2020/21 the Council aims to:

- Achieve health and fitness membership base of 3,322
- Achieve 'Learn2 Swim' membership base of 2,350
- Successfully allocate 100% (£248,910) of community grants
- Complete 100% of high/medium risk food premises inspections
- Complete 100% (16) of private water supply risk assessments

Caring for the Environment:

During 2020/21 the Council aims to:

- Maintain a recycling rate of 50%
- Monitor the effectiveness of the fly tipping and littering enforcement policy
- Facilitate 52 community litter picks
- Ensure that 20 electric vehicle charging points are provided within the district

Providing a Special Place to Live:

During 2020/21 the Council aims to:

- Maintain each year a minimum five year supply of deliverable housing sites
- Adopt the new Local Plan
- Deliver an additional 315 new homes
- Ensure 100% of homelessness decisions are made on time
- Ensure a total of 85% of funds allocated for disabled facilities applications is spent
- Process new housing benefit claims within 20 days in line with North Yorkshire authorities
- Process new council tax claims within 20 days in line with North Yorkshire authorities
- Process housing benefit changes in circumstance within five days in line with North Yorkshire authorities
- Process council tax changes in circumstance within five days in line with North Yorkshire authorities.

3.0 Recommendation

- 3.1 It is recommended that the Committee considers whether to:
- (1) carry out an in-depth policy review during 2020/21; or
 - (2) postpone an in-depth policy review at the current time due to the exceptional circumstances occasioned by the COVID-19 pandemic.

Councillor K G Hardisty
Chairman

Background papers: Council Plan 2019-23
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