

## AGENDA

Committee Administrator: Democratic Services Officer (01609 767015)

Wednesday, 5 June 2019

Dear Councillor

### NOTICE OF MEETING

Meeting                **SCRUTINY COMMITTEE**

Date                    **Thursday, 13 June 2019**

Time                   **10.30 am**

Venue                  **Main Committee Room, Civic Centre, Stone Cross, Northallerton, DL6 2UU**

Yours sincerely

*J. Ives.*

Dr Justin Ives  
Chief Executive

|            |                               |             |
|------------|-------------------------------|-------------|
| <b>To:</b> | Councillors                   | Councillors |
|            | D Hugill (Chairman)           | J Noone     |
|            | C A Dickinson (Vice-Chairman) | G Ramsden   |
|            | P Atkin                       | M Taylor    |
|            | P Bardon                      | A Wake      |
|            | C A Les                       | D Watkins   |
|            | Mrs J W Mortimer              |             |

Other Members of the Council for information

## **AGENDA**

### **Page No**

1. MINUTES

To confirm the minutes of the meetings held on 14 February and 21 May 2019 (SC.26 – SC.29 and SC.1 – SC.2), previously circulated.

2. APOLOGIES FOR ABSENCE

3. COUNCIL PERFORMANCE 2018/19 (QUARTER 4)

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Report of the Director of Finance (s151 Officer)

4. REVIEW OF RISK MANAGEMENT

17 - 28

Report of the Director of Finance (s151 Officer)

5. POLICY REVIEW WORK PROGRAMME 2019/20

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Report of the Chairman of Scrutiny Committee

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  
13 June 2019

**From:** Director of Finance (s151 Officer)

**Subject:** **COUNCIL PERFORMANCE 2018/19 (QUARTER 4)**

All Wards

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

- 1.1 The revised Council Plan for 2015-2019 was adopted by Council on 18 July 2018. This is the final report on the Council plan for 2015-2019.
- 1.2 The Council Plan shows the Council's goals with measurable outcomes in the form of Council Key Performance Indicators (KPIs). The Council's approach to performance management is designed to ensure that priorities are effectively implemented, monitored and managed to achieve real improvements in the quality of life in the local community.
- 1.3 This report provides the Scrutiny Committee with details on progress towards the Council's aims. Progress is reported in cumulative year-to-date basis, with actual results achieved during quarter 4 also provided to enable a comprehensive review.
- 1.4 The public has access to this information through these published reports.
- 1.5 The Council's Performance and Risks are also reported quarterly to Management Team.
- 1.6 The Council Plan 2019-2023 is currently under development and the KPIs reported to Scrutiny Committee in Quarter 1 2019-2020 will relate to the new 2019-2023 Council plan.

### **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 24 KPIs performed within tolerance at quarter 4.
- 2.3 The KPIs not meeting their targets or performing within tolerance at quarter 4 are:

- 2.3.1 Achieve 8 out of 10 success rate in defending appeals where major developments are refused planning permission

Target Q4 – 80%      Actual Q4 – 50%

In Q1, Q2 and Q4, there were no major development appeals.

In Q3, there were two major development appeals which were both residential schemes. One appeal was successfully defended. The second appeal for 28 dwellings in Brafferton which was upheld by the Government Inspector, had been amended prior to the inspectors decision, increasing the amount of affordable housing within the scheme. The Inspector afforded significant weight to this change. Had the scheme originally been submitted with the increased amount of affordable housing, Planning Committee may not have refused permission.

The outcome of the Brafferton appeal has been the subject of discussion at member training and the affordable housing provided has been noted to be a material consideration of significant weight in the planning balance.

**2.3.3 Ensure a total of 82% of funds for disabled facilities applications is spent**

Target Q4 – 82% (£533,613)                      Actual Q4 – 55% (£425,738)

The total allocation for 2018/19 is £770,060. In the year the actual spend is £389,629 and the committed is £36,109, therefore the total amount is £425,738, this is 55% of the total allocated.

At the beginning of 2018/19 higher than expected funding was received from the Better Care Fund Government grant in relation to the change in Government policy in 2017. Mechanisms are currently being put in place to ensure increased spend occurs in future years. It should be noted that in February 2019, an additional amount of £49,313 was granted by Government. This amount has been spent.

**3.0 CONCLUSIONS:**

- 3.1 Performance against the revised Council Plan 2015-19 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 Q4 against the Council Plan 2015-19, as detailed in Annex 'A'.

LOUISE BRANFORD-WHITE  
DIRECTOR OF FINANCE (S151 OFFICER)

Background papers:                      Departmental Service Plans

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## **Council Performance Quarter 4**

**1 January – 31 March 2019**

This report provides information on performance towards the Council Business Plan Priorities for the fourth quarter of 2018/19, as reported to the Management Team on 15 May 2019.

### **Key Priorities:**

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

## PRIORITY – Driving Economic Vitality

| <b>Purpose:</b> <ul style="list-style-type: none"> <li>- Promote growth of local economy</li> <li>- Support economic growth through planning</li> <li>- Enable businesses to set up and grow</li> <li>- Provide business friendly services</li> <li>- Establish links with education</li> <li>- Maximise private sector investment in the district</li> <li>- Improve market town vitality and viability</li> </ul> | <b>Outcome:</b> <ul style="list-style-type: none"> <li>- New business &amp; commercial openings made available</li> <li>- Increased grant availability and opportunities for young people</li> <li>- Businesses stay, grow and relocate to the area</li> <li>- Support developers to achieve planning permission for new homes, businesses, industrial developments &amp; infrastructure</li> <li>- Community Infrastructure Levy is implemented to assist economic development</li> <li>- Land is allocated to meet employment needs until 2035 through the new Local Plan</li> </ul> |                              |                                  |   |
|---|--|------------------------------|----------------------------------|---|
| Indicator   | Target / Benchmark   | Quarter 4                    | YTD                              | Q4 Actions / Comment  |
| Facilitate 25 young people into local small businesses by April 2019 through apprenticeships and the graduate scheme  | 25   | 7 apprentices<br>0 graduates | 35<br>Apprentices<br>4 Graduates | 35 apprentice's applications approved and 4 Graduate applications approved. This will realise 25 places as some of the approved applications do not convert into actual placements.   |
| Support £2m of new business investment in Hambleton during 2018/19  | £2m  | £3,205,365                   | £4,800,683                       | Supported a further 9 applications in Q4 with a total value of £3,180,911. These applications have been submitted, approval from Defra is still awaited.<br>In 2018/19, new business investment - with a total value of £1,619,771 – has been supported through both grant funding and match funding by business.   |
| Increase footfall across Hambleton's Market Towns by 5% during 2018/19  | 5%   | 3,683,739                    | 15,914,259                       | <p>The footfall counters were installed in Q2 and Q3 of 2017/18. Therefore there is limited profile data to compare and confirm that a 5% increase in footfall has been achieved for the current year. The base line data recorded in 2018/19 will be used as comparison profiles for 2019/20.</p> <p>The total figure for Jan - March is based on data collected from 22 footfall counters in place across the 5 market towns. District footfall has dropped compared to Q3. Figures reflect the seasonal rise seen in the towns and an increase in March has been noted.</p> <p>2 new counters have been installed in Stokesley and their results will be recorded in the next Quarter.</p> |

| Indicator   | Target / Benchmark | Quarter 4               | YTD                     | Q4 Actions / Comment  |
|---|--------------------|-------------------------|-------------------------|---|
| Achieve a level of Business Rate collection of 98% during 2018/19   | 98%                | 99%                     | 99.00%                  | <p>Performance is above target hitting 99.00% for the first time since 2014.</p> <p>The collection rate at Q4 is an increase of 0.79% in comparison to Q4 at 2017/18 when the collection rate was 98.21%</p> <p>In monetary value the Council has collected £906,482, more this year than in 2017/18.</p>   |
| Achieve a level of Council Tax collection of 98% during 2018/19   | 98%                | 98.56%                  | 98.56%                  | <p>Performance is above target.</p> <p>The collection rate at Q4 is an increase of 0.07% in comparison to Q4 at 2017/18 when the collection rate was 98.49%.</p> <p>In monetary value the council has collected £3,959,233 more this year than in 2017/18.</p> <p>Changes in the amount due to be collected can vary due to changes in the tax base and levels of discounts awarded.</p>  |
| Increase the number of major planning applications determined within 13 weeks, or as agreed with the applicant, to 80%. | 80%                | 100%<br>6 out of 6      | 97.1%<br>33 out of 34   | <p>Performance exceeds target. Improvements still sought in order that the use of 'Extensions of Time' can be reduced and the customer experience improved.</p> <p>Performance on majors has been maintained throughout the year. This is reflective of investment in the senior team and good working practices with developers.</p>   |
| Increase the number of minor planning applications determined within 8 weeks, or as agreed with the applicant, to 85%   | 85%                | 80.1%<br>101 out of 126 | 87.5%<br>380 out of 434 | <p>Performance met target. Improvements still sought in order that the use of 'Extensions of Time' can be reduced and the customer experience improved. Notable increase in volume of work in Q4 a 13% increase in decisions from the previous quarter. Whilst the out turn at year end is above target, performance dipped in the last quarter, partly due to the increase in workload and partly due to embedding and training of new staff. Significant staff time has also been put into a small number of high profile projects.</p> |

| Indicator  | Target / Benchmark | Quarter 4 | YTD                 | Q4 Actions / Comment   |
|--|--------------------|-----------|---------------------|--|
| Achieve 8 out of 10 success rate in defending appeals where major developments are refused planning permission | 80%                | 100%      | 50%<br>(1 out of 2) | <p>In Q1, Q2 and Q4, there were no major development appeals.</p> <p>In Q3, there were two major development appeals which were both residential schemes. One appeal was successfully defended. The second appeal for 28 dwellings in Brafferton which was upheld by the Government Inspector, had been amended prior to the inspectors decision, increasing the amount of affordable housing within the scheme. The Inspector afforded significant weight to this change. Had the scheme originally been submitted with the increased amount of affordable housing, Planning Committee may not have refused permission.</p> <p>The outcome of the Brafferton appeal has been the subject of discussion at planning Committee member training and the affordable housing provided has been noted to be a material consideration of significant weight in the planning balance.</p> |

| Other activity and items of interest for this Priority during Quarter 4 |                                      |  |
|---|--------------------------------------|--|
| <b>Business &amp; Economy</b>   | North Northallerton Development Area | <ul style="list-style-type: none"> <li>Work on the second phase of the Link road is well progressed if not complete, the new route to Brompton has been opened up from Stokesley Road and the diversions removed. Developers remain slow to provide project updates, monitoring information on contracted outputs and claims for the Local Growth Fund investment still held by the Council.</li> <li>Bridge delivery milestone of December 2018 has been missed requiring a contract variation for the Local Growth Funding from the Local Enterprise Partnership. This has been agreed by the Local Enterprise Partnership. Currently seeking permission of the developer's party to the step down agreement to progress the variation.</li> </ul> |
|   | Central Northallerton                | <ul style="list-style-type: none"> <li>Good progress being made with detailed design to widening of the Link, signalisation of the East Road/The Link junction and the Zetland Street/Central Arcade/New Row highway and foot way improvements.</li> <li>Progressing with the stepdown agreements required to be in place with Central Northallerton Development Company Limited and North Yorkshire County Council to enable project delivery.</li> </ul>   |
|   | Sowerby Gateway                      | <ul style="list-style-type: none"> <li>Work progressing on the junction due to be complete early 2019.</li> </ul>  |
|   | Business Support                     | <ul style="list-style-type: none"> <li>Stokesley Wi-Fi now has 5 companies live on the WI-FI and 3 more interested.</li> <li>Federation of Small Business – 19 new members joined in this quarter. Federation of Small Business have been short staffed and have had issues with General Data Protection Regulations which has impacted on the numbers. We have achieved 51 out of 60 memberships.</li> </ul>  |



| Other activity and items of interest for this Priority during Quarter 4 |                               |  |
|---|-------------------------------|--|
| <b>Business &amp; Economy</b>   | Vibrant Market Towns          | <ul style="list-style-type: none"> <li>Comments from Scrutiny report taken on board and used to inform Vibrant Market Towns projects.</li> <li>Revisions to the Vibrant Market Towns Investment Plan completed.</li> <li>Two additional footfall counters installed in Stokesley (March/April).</li> <li>Thirsk Farmers Market due to relaunch in June with three trial dates in 2019.</li> <li>Work to improve conditions and appearance of Easingwold Tourist Information Centre progressing at speed, with planning application submitted in March. Works funded by Vibrant Market Towns project include new door and surround, site map, display board, refurbishment of 2 free-standing display boards, bunting and a donation box.</li> <li>Google Garage Event secured and fully-booked (due to take place on the 24th April).</li> <li>Future High Street Fund application submitted.</li> <li>Work continues to develop the 'Endeavour Way', an off-road family-friendly cycle path between Great Ayton and Stokesley. The project has been endorsed by Welcome to Yorkshire and it is anticipated that a planning application will be submitted to Hambleton District Council in Quarter 1 of 2019/2020.</li> <li>ShopAppy proposal considered and rejected – no further activity planned with ShopAppy.</li> <li>Meeting with new team at Northallerton Business Improvement District has identified potential projects that can be supported by the Vibrant Market Towns team.</li> <li>Presentations on the work of the Vibrant Market Towns team given at the Easingwold Parish Assembly and the Thirsty Thursday Business Network</li> <li>Projects initiated:</li> <li>Collaboration with Northallerton Business Improvement District on Northallerton Design Plan.</li> <li>Work is underway to explore the opportunities to improve signage from the A19 into Easingwold and from Long Street into the Market Place. A number of options are being explored though North Yorkshire County Council Highways have indicated that any changes to existing signs would require approval from the Secretary of State.</li> <li>Support for a Great Ayton Business Network.</li> <li>Business-sponsored Town Map for Easingwold.</li> <li>Renewal of Market promotional material.</li> <li>Welcome Pack for New Businesses in Stokesley.</li> <li>Love Your Local Market planning.</li> <li>Update of business bulletin design.</li> </ul> |
| <b>Planning</b>   | Training                      | <ul style="list-style-type: none"> <li>Designing out crime officers have delivered training to the Development Management Team on their processes and inputs to the Development Management Process, validation training to planning support officers, continued Local search training and web training.</li> </ul>   |
|   | Major Application             | <ul style="list-style-type: none"> <li>Sheep Cote application resolved to approve by Planning Committee for 72 affordable dwellings at North Northallerton.</li> <li>Strikes re-development. Application approved for the re-development of Strikes Garden Centre at Stokesley.</li> </ul>   |
|   | Other interesting application | <ul style="list-style-type: none"> <li>18/02084/FUL - Land West of 8 Mowbray Houses, Carlton Miniott.</li> <li>Rural exception site for 7 dwellings – first one approved since 2013. Considered to be High Quality Design.</li> </ul>  |
|   | IT and Process improvements   | <ul style="list-style-type: none"> <li>Significant work commitments to the proposed improvements to systems and procedures, including testing of the IDOX mobile App solution, which would allow case officers to move away from paper files, Community Infrastructure Levy procedure improvements and investigation of CIL/S106 monitoring system, progress with online enforcement register and planning enforcement procedures/processes.</li> </ul>  |

## PRIORITY – Enhancing Health & Wellbeing

| <b>Purpose:</b> <ul style="list-style-type: none"> <li>– Improve the health and wellbeing of people by providing and supporting community inclusive facilities, activities, events and interventions</li> <li>– Protect consumers from health risks relating to hazardous food, drink and water supplies.</li> <li>– Protect residents from hazardous conditions in privately rented housing.</li> </ul> | <b>Outcome:</b> <ul style="list-style-type: none"> <li>– Increased physical activity participation rates &amp; therefore improved health</li> <li>– Reduction in health threatening conditions</li> <li>– Improved health &amp; wellbeing through community events, initiatives, programmes &amp; activities</li> <li>– Increased child safety through learning to swim</li> <li>– Improved standard of hygiene in food businesses</li> <li>– Reduced health risk due to non-compliant private water supplies</li> <li>– Protect residents from hazardous conditions in privately rented housing.</li> </ul> |                  |                  |   |
|--|--|------------------|------------------|---|
| Indicator  | Target / Benchmark   | Quarter 4        | YTD              | Q4 Actions / Comment  |
| Achieve an increase in health & fitness membership base of 8% (3,085) in 2018/19   | 8%<br>[3,085]  | 17.6%<br>(3,360) | 16.6%<br>(3,330) | This is a year-end target and fluctuation is anticipated throughout the year. All centres achieving targeted position with biggest growth as expected at Northallerton Leisure Centre.  |
| Achieve an increase in the 'learn2 swim' junior membership base of 2.8% (2,650) in 2018/19   | 2.8%<br>[2,650]  | 2.7%<br>(2,647)  | 3.3%<br>(2,665)  | This is a year-end target and fluctuation is anticipated throughout the year. All centres over achieving above targeted position.   |
| Successfully allocate 100% (£125k) of community grants in 2018/19  | £125,000   | 100%             | 100%             | It should be noted that of the £125,000 which was allocated into 5 lots of £25,000 each, Thirsk grant panel only awarded £24,558.93 of their £25,000 budget.  |
| Complete 100% (35/35) of high risk food premises inspections in 2018/19 (Changed to 29 premises in Q4)   | 100%<br>[35/35]<br>Changed to<br>29/29 in Q4   | 31 %<br>9        | 100%<br>29       | <p>To complete 29 high risk food premises inspections by the end of the year.</p> <p>Profile : Q1 - 6; Q2 - 6; Q3 - 6; Q4 - 11 = 29 (profile reflects due dates)</p> <p>The inspection profile has changed as at the start of the year as there were six Band A premises which required two inspections during the year. However when these premises were subject to the first inspection improvements were identified and they became a lower band and therefore did not require a second inspection in Q4. This information was only available at Qtr. 4.</p> |

| Indicator   | Target / Benchmark | Quarter 4  | YTD        | Q4 Actions / Comment  |
|---|--------------------|------------|------------|---|
| Complete 100% (36/36) of private water supply risk assessments in 2018/19 | 100%<br>[36/36]    | 16.6%<br>6 | 100%<br>36 | To complete 36 assessments by the end of the year.<br>Profile: Q1 - 11; Q2 - 12; Q3 - 7; Q4 - 6 = 36. |

| Other activity and items of interest for this Priority during Quarter 4 |                          |   |
|---|--------------------------|---|
| <b>Environmental Health</b>   | Health and Safety        | <ul style="list-style-type: none"> <li>The Health and Safety Executive update day was attended by an officer from the Commercial team. Information from the day will inform the teams health and safety work plan. Officers from the service also participated in a Health and Safety Executive webinar on inflatables (bouncy castles and similar structures) safety.</li> </ul>   |
|   | Environmental Protection | <ul style="list-style-type: none"> <li>The service continues to be involved with Alne landfill and is liaising with the new site owner and the Environment Agency.</li> <li>An inspection was carried out at Coast to Coast Recycling Limited to confirm that the activity was exempt from the Environmental Permitting regime, that is, it has a T7 exemption.</li> <li>The Nigel Jagger mobile crusher permit was updated due to a change of mobile plant.</li> <li>Air quality monitoring information has been provided to the Graduate Project Officer - Vibrant Market Towns in Business and Economy to support a Future High Streets Fund Bid for Northallerton.</li> </ul>   |
|   | Housing                  | <ul style="list-style-type: none"> <li>Following the introduction of a new criteria to define a house in multiple occupation the Residential Team have licensed the first property under the new regulations.</li> </ul>  |
| <b>Environmental Health</b>   | Food Hygiene             | <ul style="list-style-type: none"> <li>Five food businesses in the district were given food hygiene ratings of zero or one following routine inspections when unsatisfactory standards were identified. Officers have carried out re-visits to monitor standards and in three cases the operators have now be given a Food Hygiene Rating of five following their application for a further inspection to be carried out. There is a charge of £250.00 for re-rating inspections.</li> <li>North Yorkshire Training Group hosted a Food Safety Update Day. The Food Standards Agency provided an update on their 'Regulating our Future' programme including the changes to arrangements for food business registration. Officers from the Commercial team attended.</li> <li>During a routine inspection of butcher's shop, officers identified that a vacuum packing machine was being used for both raw and ready to eat foods. This creates a serious risk of cross contamination. The operator of the business agreed immediately to stop the practise and the ready to food, cheese that had been vacuum packed was removed from sale and used to produce cooked products. The standards of hygiene and repair in the premises were also unsatisfactory. Several re-visits to the premise were made to monitor standards which are now generally satisfactory.</li> </ul> |
| <b>Leisure &amp; Communities</b>  | MobilePro App.           | <ul style="list-style-type: none"> <li>A mobile phone app has been purchased and will be built ready to launch in Spring/Summer 2019 to assist with member retention, sales, bookings, information and more.</li> </ul>   |

## PRIORITY – Caring for the Environment

### Purpose:

- Improve efficiency of waste collections and recycling
- Improve customer satisfaction
- Reduce CO2 and improve energy efficiency

### Outcome:

- Decreased landfill waste
- Improve service to customers
- Environmental sustainability
- Clean litter environment

| Indicator   | Target / Benchmark | Quarter 4   | YTD         | Q4 Actions / Comment   |
|---|--------------------|-------------|-------------|--|
| Maintain a recycling rate of 47%  | 47%                | 42.17% est  | 49.58% est  | Actual tonnages reported 3 months in arrears. Estimated Q4 year to date targets indicate above target at year end.   |
| Develop an effective enforcement policy on fly tipping and littering                    | 100% complete      | 100%        | 100%        | Policy approved Dec 18   |
| Facilitate 24 community litter picks in 2018/19   | 24                 | 35          | 74          | Target to facilitate Community Litter Picks was exceeded. A documentation/recording system is in development and to be established.  |
| Improve efficiency of lighting by reducing energy consumption by 140,000 Kwh in 2018/19 | 140,000 kwh        | 105,520 kwh | 160,516 Kwh | Achieved the electric energy saving profile through installation of LED lighting across the Council's premises. Quarterly saving profile (Kwh): Q1 = 2,500, Q2 = 17,500, Q3 = 30,000, Q4 = 90,000<br>Cumulative saving profile (Kwh): Q1 = 2,500, Q2 = 20,000, Q3 = 50,000, Q4 = 140,000 |

### Other activity and items of interest for this Priority during Quarter 4

|                                 |                           |   |
|---------------------------------|---------------------------|---|
| <b>Waste &amp; Street Scene</b> | Parish/Town Council talks | <ul style="list-style-type: none"> <li>• Out of hours talks by Recycling Officers, 2 talks,</li> <li>• Parish Council talks by dog warden.</li> </ul> |
|---------------------------------|---------------------------|---|

## PRIORITY – Providing a Special Place to Live

| <b>Purpose:</b> <ul style="list-style-type: none"> <li>– Provide an adequate amount of housing to meet the housing needs of all</li> <li>– Provide support to residents to prevent homelessness</li> <li>– Support people to lead independent lives</li> </ul> |                         | <b>Outcome:</b> <ul style="list-style-type: none"> <li>– Housing sites are made available for market and affordable housing</li> <li>– Achieve housing for all</li> <li>– Provide financial support for residents to live in the district independently</li> <li>– Provide support to residents to prevent homelessness</li> </ul> |           |  |
|--|-------------------------|--|-----------|--|
| Indicator  | Target / Benchmark      | Quarter 4  | YTD       | Q4 Actions / Comment   |
| Maintain, each year, a minimum 5-year supply of deliverable housing sites  | 5 yrs                   | 9.8 yrs  | 9.7 yrs   | <p>Target for 5 year supply was exceeded.</p> <p>Supply consists of 3,260 units – 1,970 units from allocated sites, 1,190 windfall units &amp; 100 unit windfall allowance</p> <p>Note new permissions include Austin Reed (112), Brafferton (28), Forge Lane Tollerton (20)</p>   |
| Publish the new Local Plan by September 2018 (Amended to June 2019 in Q3)  | 100% complete June 2019 | 0%   | 0%        | New Local Development Scheme approved by Cabinet in November 2018. Therefore New Local Plan to be published in June 2019.  |
| Deliver an additional 315 new homes by April 2019  | 315                     | 114 (est)  | 461 (est) | <p>Actual completions for 2018/2019 have increased to 461 units compared to the previous estimate of 365.</p> <p>Q4 Figures are provisional.</p> <p>Build out rates for North Northallerton have been revised upward, new sites have started to make a contribution like “The Weald” in Easingwold – overall activity high with 323 completions from allocated sites &amp; 138 windfall completions.</p> <p>More completions will be reported over the coming months. Completions for 2019/2020 have already come forward.</p> |
| Ensure 100% of homelessness decisions are made within 56 days.   | 100%                    | 100%   | 100%      | Performance is on target.  |

| Indicator  | Target / Benchmark | Quarter 4         | YTD                 | Q4 Actions / Comment   |
|--|--------------------|-------------------|---------------------|--|
| Ensure a total of 82% of funds for disabled facilities applications is spent               | 82%<br>(£533,613)  | 36%<br>(£234,462) | 55.3%<br>(£425,738) | <p>The total allocation for 2018/19 is £770,060. In the year the actual spend is £389,629 and the committed is £36,109, therefore the total amount is £425,738, this is 55.3% of the total allocated.</p> <p>At the beginning of 2018/19 higher than expected funding was received from the Better Care Fund in relation to the change in Government policy in 2017. Mechanisms are currently being put in place to ensure increased spend occurs in future years. It should be noted that in February 2019, an additional amount of £49,313 was granted by Government. This amount has been spent.</p>  |
| Process new housing benefit claims within 20 days in line with North Yorkshire authorities | 20 days            | 15.41 days        | 15.34 days          | <p>Year to date, 328 claims processed, taking 5,053 days. Average processing time per claim 15.34 days.</p> <p>The number of new claims is falling due to the government's policy that Housing Benefit claims for claimants of working age should now be processed by the Department of Work and Pensions.</p> <p>Therefore 375 fewer new claims were received this year than in 2017/18.</p> <p>Speed of processing can also be affected by local policy changes, therefore care should be taken when making comparisons with other Local Authority's.</p> <p>The latest national average information available for Q2 for 2018/19 was 22 days. The Council's comparative performance was 13.58 days.</p> |
| Process new council tax claims within 20 days in line with North Yorkshire authorities     | 20 days            | 15.34 days        | 15.03 days          | <p>Year to date, 1,642 claims processed, taking 24,673 days. Average processing time per claim 15.03 days.</p> <p>127 fewer new claims were received this year than in 2017/18.</p>  |

| Indicator  | Target / Benchmark | Quarter 4 | YTD       | Q4 Actions / Comment  |
|--|--------------------|-----------|-----------|---|
| Process housing benefit changes in circumstance within 7 days in line with North Yorkshire authorities | 7 days             | 1.9 days  | 2.7 days  | <p>Year to date, 10,387 changes in circumstances processed, taking 28,067 days. Average processing time per claim 2.7 days.</p> <p>1,843 fewer changes in circumstances were processed this year than in 2017/18.</p> <p>As speed of processing can be affected by local policy changes, care should be taken when making comparisons with other Local Authority's.</p> <p>The latest national average information available for Q2 for 2018/19 is 8 days. The Council's comparative performance is 3.1 days.</p> |
| Process council tax changes in circumstance within 7 days in line with North Yorkshire authorities     | 7 days             | 1.93 days | 2.99 days | <p>Year to date, 22,020 claims processed, taking 50,455 days. Average processing time per claim is 2.99 days.</p> <p>1,744 more changes in circumstances were processed this year than in 2017/18.</p> <p>The number of council tax reduction changes to process is increasing in part due to the monthly changes in Universal Credit income.</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 | 2015-16      |              | 2016-17      |              | 2017-18           |              | Q1           |              | Q2           |              | Q3           |              | Q4           |              |
|--------------------|--------------|--------------|--------------|--------------|-------------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|
|                    | C/Tax        | H/Benefit    | C/Tax        | H/Benefit    | C/Tax             | H/Benefit    | C/Tax        | H/Benefit    | C/Tax        | H/Benefit    | C/Tax        | H/Benefit    | C/Tax        | H/Benefit    |
| Craven             | 23.80        | 24.73        | 26.26        | 27.52        | 18.49             | 19.52        | 19.68        | 19.38        | 18.59        | 21.20        | 22.19        | 23           |              |              |
| Harrogate          | 20.25        | 18.26        | 19.52        | 21.35        | 25.34             | 22.98        | 26.72        | 25.67        | 23.54        | 22.08        | 27.01        | 25.91        |              |              |
| <b>HAMBLETON</b>   | <b>24.73</b> | <b>20.73</b> | <b>28.43</b> | <b>23.62</b> | <b>25.61</b>      | <b>20.76</b> | <b>17.21</b> | <b>18.00</b> | <b>12.89</b> | <b>13.58</b> | <b>14.30</b> | <b>13.82</b> | <b>15.34</b> | <b>15.41</b> |
| Scarborough        | 14.56        | 17.24        | 16.66        | 18.27        | 17.6<br>(Q3 only) | 19.90        | 19.75        | 22.99        | 20.23        | 25.13        | 17.87        | 20.38        |              |              |
| Selby              | 21.21        | 20.88        | 21.14        | 19.32        | 22.54             | 21.86        | 24.66        | 23.84        | 26.05        | 21.14        | 20.10        | 17.19        |              |              |
| Richmondshire      | N/A          | N/A          | 22.26        | 18.32        | 18.6<br>(Q2 only) | 16.66        | 15.48        | 17.41        | N/A          | N/A          | N/A          | N/A          |              |              |
| Ryedale            | 24.46        | 19.50        | 38.11        | 32.16        | 28.60             | 23.96        | 26.56        | 18.80        | 33.62        | 19.66        | 33.06        | 16.63        |              |              |

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

| North Yorks Region | 2015-16     |             | 2016-17     |             | 2017-18       |             | Q1          |             | Q2          |             | Q3          |             | Q4          |             |
|--------------------|-------------|-------------|-------------|-------------|---------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|
|                    | C/Tax       | H/Benefit   | C/Tax       | H/Benefit   | C/Tax         | H/Benefit   | C/Tax       | H/Benefit   | C/Tax       | H/Benefit   | C/Tax       | H/Benefit   | C/Tax       | H/Benefit   |
| Craven             | 4.47        | 4.18        | 5.61        | 4.86        | 7.40          | 4.49        | 9.48        | 6.94        | 9.01        | 10.05       | 4.58        | 6.98        |             |             |
| Harrogate          | 5.86        | 3.97        | 6.56        | 5.18        | 7.55          | 6.22        | 7.94        | 6.03        | 5.31        | 4.82        | 5.61        | 5.37        |             |             |
| <b>HAMBLETON</b>   | <b>3.44</b> | <b>3.26</b> | <b>5.45</b> | <b>5.29</b> | <b>6.24</b>   | <b>5.78</b> | <b>4.38</b> | <b>3.48</b> | <b>3.05</b> | <b>3.10</b> | <b>2.42</b> | <b>2.71</b> | <b>1.93</b> | <b>1.90</b> |
| Scarborough        | 3.78        | 2.93        | 4.53        | 4.39        | 5.6 (Q3 only) | 4.68        | 6.89        | 6.7         | 7.67        | 7.72        | 7.73        | 7.1         |             |             |
| Selby              | 3.85        | 3.49        | 4.07        | 4.23        | 3.99          | 4.55        | 4.49        | 4.82        | 4.92        | 5.54        | 4.19        | 4.33        |             |             |
| Richmondshire      | N/A         | N/A         | 4.58        | 3.33        | 4.9 (Q2 only) | 3.29        | 5.74        | 3.14        | N/A         | N/A         | N/A         | N/A         |             |             |
| Ryedale            | 2.62        | 3.23        | 4.84        | 5.10        | 11.98         | 6.28        | 12.33       | 4.57        | 6.32        | 3.04        | 2.18        | 4.72        |             |             |



| Other activity and items of interest for this Priority during Quarter 4 |                                 |   |
|---|---------------------------------|---|
| <b>Customer Services &amp; Communications</b>                           | Customer Services               | <ul style="list-style-type: none"> <li>Seasonal high level of customer demand was expected for garden waste renewals and council tax annual despatch, in addition to implementation of GovTech WebCapture the automated process where council tax and business rates is now available online.</li> </ul>  |
|   | Technical Communications        | <ul style="list-style-type: none"> <li>The implementation of the Crowd Control social media platform is assisting in-house operation of corporate accounts providing a forward plan calendar structuring posts for the council. The platform allows for research and analysis of campaigns and provides management information and analytics to cascade to Management Team on a quarterly basis.</li> </ul> |
|   | Communications and Graphics     | <ul style="list-style-type: none"> <li>Considerable support has been provided to the numerous projects ongoing across the council including Tour De Yorkshire, Business Conference and Breakfast Briefings, Lambert Hospital consultation, Sowerby Sports Village, HR policy updates, annual council tax despatch, plus district and parish elections.</li> </ul>   |
| <b>Design &amp; Maintenance</b>   | Markets Events                  | <ul style="list-style-type: none"> <li>Agreement reached with Northern Dales Farmers Market to attend Thirsk on three dates 2019</li> <li>Mayfair planning for May 2019 event</li> <li>Support for Tour de Yorkshire</li> </ul>   |
| <b>ICT</b>  | Taxi Newsletter                 | <ul style="list-style-type: none"> <li>Taxi licensing annual newsletter issue electronically.</li> </ul>  |
|   | Work experience for CCG         | <ul style="list-style-type: none"> <li>Provide one afternoon each week constant supervision and dedicated 1-to-1 support in Reprographics office between Oct18-Mar19.</li> </ul>  |
|   | First Commercial Project in ICT | <ul style="list-style-type: none"> <li>Secure funding from Local Government Association to provide User Cyber Training to three Councils.</li> </ul>  |
| <b>Legal Services</b>   | Licensing/Legal                 | <ul style="list-style-type: none"> <li>Successfully defended decision to revoke a taxi driver licence at Magistrates' Court.</li> </ul>   |
|   | Legal                           | <ul style="list-style-type: none"> <li>Treadmills site; leased Crosby Road Car Park (and removed from off site parking places order).</li> <li>Acquired Lambert Hospital.</li> </ul>  |
| <b>Strategic Housing</b>  | Strategic Housing               | <ul style="list-style-type: none"> <li>Introduction to Disabled Facilities Grants: Foundations Training Course – 19th March 2019</li> <li>Community Led Housing Accredited Training – 6th and 7th March 2019</li> </ul>   |
|   | Housing Options                 | <ul style="list-style-type: none"> <li>Fraud awareness – PN Feb 19</li> <li>Department of Work and Pension training support to claim – AM 28th March 2019</li> <li>Advanced Report Writing training Jigsaw – AM and CC – 21st March 2019</li> </ul>   |
| <b>Revenues and Benefits</b>  | Revenues                        | <ul style="list-style-type: none"> <li>Promotion of the automated process for council tax and business rates using on line forms for notification of moves into and out of area, single person discount, tenancy changes, copy bills, direct debits, special payment arrangements.</li> </ul>   |

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## **HAMBLETON DISTRICT COUNCIL**

**Report to:** Scrutiny Committee  
13 June 2019

**From:** Director of Finance (s151 Officer)

**Subject:** **REVIEW OF RISK MANAGEMENT**

All Wards

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### **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.
- 1.3 All risks are reviewed by the relevant service manager on a quarterly basis to reflect upon their appropriateness and the adequacy of an mitigating action plan.
- 1.4 The Strategic Risk Management Group established in March 2017 meet regularly to drive all aspects of risk management compliance for the authority, supporting the monitoring roles performed by Management Team, Scrutiny Committee and Audit, Governance and Standards 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 annually review at quarter four 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 The process of managing risk is approved by Audit, Governance & Standards Committee on an annual basis in the Annual Governance Statement.
- 1.7 As a result of work carried out by the Strategic Risk Management Group the following information details the proposed recommended approach for risk management from Q4, 2018/19 and for future years:
  - (i) Each risk must now carry both a 'Gross' or 'Inherent' score, as well as a 'Net' or 'Residual' score.
  - (ii) The addition of an action plan and timeline or deadline acts as a mechanism for managers to closely monitor and manage each risk.
  - (iii) 'Strategic' and 'Operational' organisation identifiers no longer added value to the authority's risk management process and are therefore no longer used.
  - (iv) Changes in the Council's definition of risk appetite have occurred.

- (v) The definitions of the 'Impact Criteria' and 'Impact Score' have been revised. This is to assist officers to have a consistent approach when deciding on the impact element of the Likelihood x Impact of the risk score.
  - (vi) Project risks continue to be clearly identified.
  - (vii) Corporate risks have been introduced.
  - (viii) General Risks where the Net risk is equal to or above a risk appetite threshold of '12' will be reported to Members.
- 1.8 During Q4, 73 risks were changed or updated, 4 risks were closed and 7 new risks identified. The authority currently holds a total of 341 active risks across all service areas.
- 1.9 As a result of these improvements to the risk management process, the risks presented for Scrutiny Committee to review will include:
- Annex A Corporate Risks
  - Annex B Project Risks
  - Annex C General Risks where the net risk appetite threshold is equal to 12 or above.
- 1.10 The Risk Management Framework is being updated to incorporate the proposed changes in this report for 2019-2020 will be presented to Scrutiny Committee Members at the next available opportunity.

## **2.0 RISK MANAGEMENT:**

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

## **3.0 RECOMMENDATIONS:**

- 3.1 It is recommended that the Committee note:
- (1) Annex A HDC Corporate Risks
  - (2) Annex B HDC Project Risks
  - (3) Annex C HDC General Risks with a net risk appetite threshold equalling 12 or above.

LOUISE BRANFORD-WHITE  
DIRECTOR OF FINANCE (S151 OFFICER)

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

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| Risk ID | Risk Name  | Status | 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 <b>Business Continuity</b> plan leads to lack of resilience or inability to access HDC services resulting in loss of service or failure of service delivery.  | Active | CORP    | Paul Staines                           | All Service Managers                 | 1x5                   | 5     | Med        | Disaster Recovery Policy procedure and plans are in place across the organisation and all Service managers are engaged. ICT liaise with Business Areas to provide resilience in line with the business needs. Emergency Kit is in place, being reviewed and backed up on regular basis   | Continuously monitored and reviewed        | 1x5                 | 5     | Med        |
| 254     | <b>Health and Safety workplace risk assesment</b> - 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.          | Active | CORP    | Paul Staines                           | All Service Managers                 | 5x5                   | 25    | High       | <ul style="list-style-type: none"> <li>Each service to implement their service specific action plan to undertake service risk assessments and workplace inspections annually</li> <li>services to work to the HDC Health &amp; Safety Policy and arrangements for risk assessments. - Responsible Officer to assist shared learning and practices across the organisation.</li> </ul>  | Ongoing                                    | 1x3                 | 3     | Low        |
| 157     | <b>Health and Safety Lone working</b> practices are not as effective as they should be leading to potential physical risk and/or sub-standard service, performance, financial, environmental and reputational losses and legal challenge.  | Active | CORP    | Paul Staines                           | All Service Managers                 | 2x5                   | 10    | Med        | <ul style="list-style-type: none"> <li>HDC implements suitable arrangements where all services work to the Council Health and Safety Policy and arrangements for Lone working.</li> <li>Service action plans in place including: <ul style="list-style-type: none"> <li>Specific service risk assessment &amp; practice in place</li> <li>All relevant staff to receive h &amp; s training</li> <li>A system of monitoring and review is being implemented where H&amp;S Group monitor risk assessment management and associated KPI's.</li> </ul> </li> </ul> | On-going                                   | 1x3                 | 3     | Low        |
| 512     | Failure to follow <b>GDPR requirements</b> and failure to follow the Council's Information Policy leads to 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. | Active | CORP    | Gary Nelson                            | Laura Venn and All Service Managers  | 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/ GDPR updates.   | On going                                   | 2x2                 | 4     | Low        |
| 522     | Failure of the Council's <b>website</b> 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.              | Active | CORP    | Helen Kemp                             | Sandra Hall and All Service Managers | 2x3                   | 6     | Low        | Website hosted and supported offsite to minimise risk and current information maintained and review on a regular basis   | Ongoing                                    | 1x3                 | 3     | Low        |
| 602     | Failure to ensure all staff undertake <b>Equality &amp; Diversity</b> refresher training annually in accordance with HDC corporate objectives.   | Active | CORP    | Gary Nelson                            | Lynne Halls and All Service Managers | 2x3                   | 6     | Low        | All staff to complete training through L&D programme every 3 years   | Ongoing                                    | 1x3                 | 3     | Low        |
| 709     | Failure to set an <b>annual budget</b> to reflect the Financial Strategy and the budgeted Council Tax  | Active | FIN     | Louise Branford-White                  | Saskia Calton                        | 1x4                   | 3     | Low        | Complete and challenge the Budget setting process, generate income, create efficiency savings, reduce the current budget, monitor and manage the position reporting to cabinet on a quarterly basis  | Annual - February and Quarterly monitoring | 1x3                 | 3     | Low        |

## ANNEX B

HDC PROJECT RISKS  
2018-19 Q4

| Risk ID                   | Risk Name   | Project Risk | CP Priority | 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 |
| DRIVING ECONOMIC VITALITY |   |              |             |   |  |                                 |                       |       |            |  |  |                     |       |            |
| 615                       | Inability to deliver Bedale Gateway Car Park project leads to long-term damage to local economy through loss of visitors and trade.   | PR           | EV          | 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 econmic vibrancy of town. Fundamental review of options in June 2019.  | Jun-19   | 3x3                 | 9     | Med        |
| 621                       | Default on payments for £1.5m loan issued to finance Dalton Bridge development, leading to Council's inability to recover its commercial investment.  | PR           | EV          | Business & Economy                          | Helen Kemp                             | Nicole Patterson & Sam Swinbank | 3x5                   | 15    | High       | Business Improvement District with BID levy collected through a statutory process to facilitate repayment of the loan.   | Sep-21   | 2x4                 | 8     | Med        |
| 629                       | 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   | PR           | EV          | 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 LEP LGF funding. The LEP have agreed this and the variation is being progressed.   | Mar-19   | 2x5                 | 10    | Med        |
| 631                       | NNDA 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.  | PR           | EV          | Business & Economy                          | Helen Kemp                             | Nicole Patterson & Sam Swinbank | 2x5                   | 10    | Med        | Risk has reduced on receipt of LEP 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     | Low        |
| 632                       | North Northallerton Project is delayed or stalls completely, adversely affecting the Council's supply of housing and employment land.   | PR           | EV          | 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       |
| 668                       | Residents put all recyclables in the new wheeled bin and don't use the box for glass. Contaminated loads, especially if glass is at the bottom of the bin and isn't noticed until tipped or until at the MRF. | PR           | EV          | Waste & Street Scene                        | Paul Staines                           | Gary Brown                      | 1x4                   | 4     | Low        | Maintain clear communication needed about the box still in use and possibly suspect if no box is presented along with bin. Introduction of Contamination procedure and possible temporary withdrawal of service  | Jan-19   | 1x4                 | 4     | Low        |
| 737                       | Local Plan - The Plan is found to be unsound at the Examination stage   | PR           | EV          | Planning                                    | Helen Kemp                             | Mark Harbottle                  | 2x5                   | 10    | Med        | Robust evidence base is being developed. Policies to reflect government guidance. Plan is to be checked by experts prior to Publication  | Jul-19   | 1x5                 | 5     | Med        |
| 738                       | Central Northallerton Redevelopment - The dividends expected from the development are not received  | PR           | EV          | Corporate                                   | Justin Ives                            | Louise Branford-White           | 4x4                   | 16    | High       | Monitor the Joint Ventire Company Budget quarterly and support the sale of phase I and phase II of the development   | Quarterly  | 3x4                 | 12    | High       |
| 739                       | Central Northallerton Redevelopment - The site is not developed to reflect the aspirations of the Council   | PR           | EV          | Corporate                                   | Justin Ives                            | Louise Branford-White           | 4x5                   | 20    | High       | 1. Board meets every 2 months; 2. CExc & Deputy Leader represent the interest of the Council; 3. Internal Board meeting reviews, monitors and suggests actions - meets every 6 weeks   | 6 weekly monitoring, completion date summer 2020 | 3x4                 | 12    | High       |
| 740                       | Sowerby Gateway - Junction - Key elements of infrastructure are delayed   | PR           | EV          | Planning                                    | Helen Kemp                             | Mark Harbottle                  | 4x4                   | 16    | High       | Ongoing officer engagement with developers and other stakeholders in the scheme to ensure any issues are addressed at the earliest opportunity. (Works to construct junction have commenced and risks of failure are therefore significantly reduced. The formation of the Sowerby Sports Village has also commenced and a programme of action lead by the Dept for Education to create a new Primary School on the Sowerby Gateway side is in place.) Officers maintain dialogue interally and external stakeholders. Likelihood reduced from 4 to 1 (4/10/2018) TJW. | Monthly review                                   | 1x4                 | 4     | Low        |
| 749                       | Dalton Bridge – Default on Voluntary Contributions  | PR           | EV          | Business & Economy                          | Helen Kemp                             | Nicole Patterson / Sam Swinbank | 3x4                   | 12    | High       | Establish legal agreements with all business covering contribution, monitor voluntary contribution and timetable for payments.   | Sep-21   | 2x4                 | 8     | Med        |

## ANNEX B

## HDC PROJECT RISKS 2018-19 Q4

| Risk ID                                 | Risk Name  | Project Risk | CP Priority | 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 |
| 750                                     | Leeming Bar Industrial Estate – Community objection to the scheme  | PR           | EV          | Business & Economy    | Helen Kemp                             | Nicole Patterson / Sam Swinbank | 3x5                   | 15    | High       | Establish Community Working Group to allow issues to be raised and to be addressed as part of the Scheme Development Stage.  | 2018                                   | 3x4                 | 12    | Med        |
| 763                                     | Ineffective spatial planning results in HDC being found to be in failure & government intervenes.  | PR           | EV          | Planning              | Helen Kemp                             | Mark Harbottle                  | 1x5                   | 5     | Low        | 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                                     | The Local Plan in overly ambitious & cannot be justified at Examination  | PR           | EV          | Planning              | Helen Kemp                             | Mark Harbottle / James Campbell | 4x4                   | 16    | High       | Robust evidence base has been produced and is being consistently updated. DtC consultation with neighbouring LAs & key stakeholders. Production of Statement of Common Ground. Strategy approach aligns with the Council's Economic Strategy, the SEP etc  | Review in line with LDS                | 2x4                 | 8     | Med        |
| <b>ENHANCING HEALTH &amp; WELLBEING</b> |  |              |             |                       |  |                                 |                       |       |            |  |  |                     |       |            |
| 699                                     | Northallerton Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended                                    | PR           | HW          | Leisure & Communities | Steve Lister                           | Steven Lister                   | 4x4                   | 16    | Med        | <ul style="list-style-type: none"> <li>Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Northallerton</li> <li>Some Section 106 funds have been secured (£300k)</li> <li>National Governing Bodies will be consulted in a timely fashion</li> <li>The council is considering purchasing a Grant Finder product</li> </ul> | 2025                                   | 3x3                 | 9     | Med        |
| 703                                     | Sowerby Sports Village - not obtaining sufficient external funding to complete phase 1 within a timely manner                                      | PR           | HW          | Leisure & Communities | Steve Lister                           | Lisa Wilson                     | 1x5                   | 5     | Low        | <ul style="list-style-type: none"> <li>European Regional Development Fund successful</li> <li>Section 106 in place – dialogue with the housing developer has taken place at a senior level to clarify timescales</li> </ul>  | 2019                                   | 1x2                 | 2     | Low        |
| 741                                     | Sowerby Sports Village – difficulties in establishing a community based operator(s) to manage the facility   | PR           | HW          | Leisure & Communities | Steve Lister                           | Lisa Wilson                     | 3x5                   | 15    | High       | <ul style="list-style-type: none"> <li>Comprehensive engagement and early, constructive discussions with the key stakeholders necessary to explore options and gain community buy-in</li> <li>Action plan to be drafted</li> </ul>   | 2022                                   | 2x3                 | 6     | Low        |
| 742                                     | Sowerby Sports Village – the committed sum thresholds are not met by the developers in a timely fashion  | PR           | HW          | Leisure & Communities | Steve Lister                           | Lisa Wilson                     | 4x3                   | 12    | High       | <ul style="list-style-type: none"> <li>Budgets are managed through the Council's capital programme so that funds are released and returned when grant claims are processed.</li> <li>Appropriate legal agreements are upheld with the developers.</li> <li>Regular dialogue with the developers at senior level.</li> </ul>  | 2019                                   | 2x2                 | 4     | Low        |
| 743                                     | Sowerby Sports Village – capital costs increase, especially if the scheme takes a long time to deliver   | PR           | HW          | Leisure & Communities | Steve Lister                           | Lisa Wilson                     | 3x4                   | 12    | High       | <ul style="list-style-type: none"> <li>The project is being delivered in phases</li> <li>The project budget will be closely managed using the council's project management systems so that issues are identified as soon as possible and addressed as appropriate</li> </ul>   | 2022                                   | 3x3                 | 9     | Med        |
| 760                                     | Key personnel leave the authority or technical lead is no longer involved in the project   | PR           | HW          | Leisure & Communities | Steve Lister                           | Lisa Wilson                     | 2x3                   | 6     | Med        | A robust and resilient 'project team' approach has been adopted to ensure any changes in personnel will not have a significant impact on the project delivery. Continued appointment of experienced project manager budgeted for within phase 1.   | 2022                                   | 2x2                 | 4     | Low        |
| 761                                     | Sowerby Sports Village - The 33kv electric cable is not diverted in a timely fashion and delays the work significantly putting the project at risk | PR           | HW          | Leisure & Communities | Steve Lister                           | Lisa Wilson                     | 4x4                   | 16    | High       | <ul style="list-style-type: none"> <li>National Power Grid has started works on 8 April to complete the cable diversion</li> <li>Phase 1 contractor has delivered phase 1 and 2 through a realistic work-around</li> </ul>   | 2019                                   | 1x4                 | 4     | Low        |

## CARING FOR THE ENVIRONMENT

## ANNEX B

## HDC PROJECT RISKS 2018-19 Q4

| Risk ID   | Risk Name  | Project Risk | CP Priority | 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 |
| 127   | The amount of waste disposed of to landfill / per head of population continues to increase leading to increased collection costs   | PR           | Env         | Waste & Street Scene  | Paul Staines                           | Gary Brown                      | 3x3                   | 9     | Med        | Under review as part of the Waste Management Strategy. Concern regards charges to be imposed at Civic Amenity Sites will impact negatively on collection costs. Increase evidenced in fly tipping.   | Jan-19                                 | 3x3                 | 9     | Med        |
| 131   | Failure to reduce the amount of waste sent to landfill means a proportion of the fines imposed on the waste disposal authority(NYCC) will be passed onto the Council.  | PR           | Env         | Waste & Street Scene  | Paul Staines                           | Gary Brown                      | 2x3                   | 6     | Med        | Under review as part of the Waste Management Strategy. Concern regards charges to be imposed at Civic Amenity Sites will impact negatively on collection costs. Increase evidenced in fly tipping.   | Jan-19                                 | 2x3                 | 6     | Med        |
| 465   | Failure of the York and North Yorkshire Waste Management Partnership (SP010) leads to reduced service delivery.  | PR           | Env         | Waste & Street Scene  | Paul Staines                           | Paul Staines                    | 1x3                   | 3     | Low        | Monitored through quarterly waste partnership meetings and partnership reviews. Possible withdrawal from partnership - attendance at relevant meetings.  | Mar-19                                 | 1x3                 | 3     | Low        |
| 667   | Allowing bulky brown cardboard to be collected from households which is not contained within wheeled bin (side waste) leads to potential problems as wet material will have an impact. New collection system is severely compromised at the start of it coming into effect impacting on collection time and undermining credibility of the new service with residents Adding to confusion and undermining the reasons of moving to a wheeled bin service | PR           | Env         | Waste & Street Scene  | Paul Staines                           | Gary Brown                      | 2x3                   | 6     | Med        | There is a need for a clear and consistent approach to side waste. Information to residents needs to be clear as well as training for operatives. Continued refresher training especially with recognition of round changes as part of route optimisation. Service established including evidence that, residents awareness and recognition of requirements is improving.  | Jan-19                                 | 2x2                 | 4     | Low        |
| 717   | Introduction of Green Waste charging leads to participation that requires a further round, vehicle and staff to service the volume of participating Properties.  | PR           | Env         | Waste & Street Scene  | Paul Staines                           | Paul Staines / Gary Brown       | 4x5                   | 20    | High       | Charge agreed following extensive research. Subscription levels significantly in excess of estimated. Rounds require some work to balance due to location of properties  | Dec-18                                 | 3x5                 | 15    | Med        |
| 788   | Further assessment of the Ground Source heat Pump (GSHP) scheme reveals it is not economically viable resulting in unrecoverable expenditure   | PR           | Env         | Corporate             | Mick Jewitt                            | Hannah Heinemann                | 4X4                   | 16    | High       | Monitor costs closely and ask consultant to produce a more accurate cost plan. Project Plan includes key review points. Manage project with assessment and review at each key stage to minimise financial exposure and ensure scheme does not progress unless continuing economic viability is demonstrated.   | Feb-19                                 | 4X4                 | 12    | High       |
| 789   | No Renewable Heat Incentive achieved for the GSHP scheme   | PR           | Env         | Corporate             | Mick Jewitt                            | Hannah Heinemann                | 3x5                   | 15    | High       | Provide as much detail as possible at clarification stage.   | Feb-19                                 | 4x4                 | 16    | High       |
| 790   | The size and scope of GSHP project is undeliverable within such a tight timescale (By Jan 2019)  | PR           | Env         | Corporate             | Mick Jewitt                            | Hannah Heinemann                | 3x4                   | 12    | High       | A full project management approach will be followed with appropriate assistance from experts in the implementation of the technology. More certainty will be achieved after condition surveys are completed and some initial design has been prepared.   | Mar-19                                 | 3x4                 | 12    | High       |
| <b>A SPECIAL PLACE TO LIVE</b>                  |  |              |             |                       |  |                                 |                       |       |            |  |  |                     |       |            |
| 115   | Market conditions or ineffective spatial planning leads to a reduction in new homes completions and results in the Council not meeting its new homes target and consequently reduction in New Homes Bonus & Council Tax receipts.  | PR           | SP          | Planning              | Helen Kemp                             | Mark Harbottle                  | 3x3                   | 9     | Med        | Progress a new Local Plan for the period up to 2035 that reflects current government guidance and provides a good range of deliverable housing sites. Also work closely with developers to bring sites forward. Regular performance monitoring and good project management.  | Reviewed quarterly                     | 3x1                 | 3     | Low        |
| 116   | Lack of resources or failure in the process leads to Local Plan being found unsound at Examination and results in a need to repeat the process and leads to speculative planning applications and appeals.   | PR           | SP          | Planning              | Helen Kemp                             | Mark Harbottle / James Campbell | 1x4                   | 4     | Low        | Project planning to ensure new Local Plan is brought forward in a timely manner and based on a robust evidence base, Sustainability Appraisal & community & stakeholder engagement & that legal requirements are followed. Review LDS annually. LPE consultants checking document prior to Publication. Investment in planning policy staff resource & software  | Review monthly                         | 1x4                 | 4     | Low        |
| <b>COMMUNICATIONS &amp; CUSTOMER EXCELLENCE</b> |  |              |             |                       |  |                                 |                       |       |            |  |  |                     |       |            |
| 471   | Failure to deliver Customer Excellence programme including Customer Relations Management (CRM) & Business Process Implementation (BPI) projects to improve quality of service delivery, leads to a reduced level of services.  | PR           | CC          | Cust Services & Comms | Louise Branford-White                  | Sandra Hall                     | 3x3                   | 9     | Med        | Customer Excellence Programme delivering CRM & BPI ongoing through 2018/19 into 2019/20. Programme includes corporate GovMetric customer satisfaction, call recording, customer culture, process improvements, customer service training. Resources limited to implement process and service improvements due to nature of operational and reactive roles however every effort is made to improve services as resources allow. | Ongoing                                | 3x3                 | 9     | Med        |



## ANNEX B

HDC PROJECT RISKS  
2018-19 Q4

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| Risk ID         | Risk Name   | Project Risk | CP Priority | 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 |
| GOOD FINANCES   |   |              |             |                          |  |                       |                       |       |            |   |  |                     |       |            |
| 711             | Changes to the E-Procurement system and internal procurement procedures fail to significantly improve the overall quality of service.   | PR           | FIN         | Corporate Finance        | Louise Branford-White                  | Emma Thornton         | 3x2                   | 6     | Med        | The project will be split into 4 Key stages. Stage 1 Updating the current e-financial system. Stages 2 Empower sections so they can raise and authorise their own purchase orders. Stage 3 Implement a No Purchase order, No Pay policy, Stage 4 Procure and implement software to aid automated matching of Purchase orders to invoices. The project will be monitored at each stage to ensure the cost of the project does not outweigh the likely benefits obtained. P2P project currently on hold due to possible procurement of new Finance system   | Dec-19                                     | 3X1                 | 3     | Low        |
| 712             | Cost of implementing changes to the Finance system including the possible requirement to purchase additional Computer Software and/or Hardware to enhance Optical Character Recognition to accommodate Purchase to Pay Ideas out weights benefit/reward                           | PR           | FIN         | Corporate Finance        | Louise Branford-White                  | Emma Thornton         | 5x2                   | 10    | Med        | The project will be split into 4 Key stages. Stage 1 Updating the current e-financial system. Stages 2 Empower sections so they can raise and authorise their own purchase orders. Stage 3 Implement a No Purchase order, No Pay policy, Stage 4 Procure and implement software to aid automated matching of Purchase orders to invoices. The project will be monitored at each stage to ensure the cost of the project does not outweigh the likely benefits obtained. If we are able to improve service sufficiently by online input of Purchase Orders by each individual service, capacity to process invoices in Business Support will increase allowing for more accurate and timely processing of invoices which may eliminate the need for additional software. Also updates to current software may assist in the invoice processing therefore making the need for additional software unlikely. P2P project currently on hold due to possible procurement of new Finance system | Dec-19                                     | 3X1                 | 3     | Low        |
| 713             | Possible initial increase in invoice processing times with the introduction of a Corporate No Purchase Order, No Pay policy which would be required to compliment the Purchase to Pay Ideals.   | PR           | FIN         | Corporate Finance        | Louise Branford-White                  | Emma Thornton         | 4x2                   | 8     | Med        | Ensuring a comprehensive media campaign is carried out by write to all suppliers of goods and service and advertising the new payment policy on the councils intranet and website. P2P project currently on hold due to possible procurement of new Finance system  | Dec-19                                     | 3X2                 | 6     | Med        |
| 714             | Risk of staff outside Corporate Finance not engaging with new procurement processes.  | PR           | FIN         | Corporate Finance        | Louise Branford-White                  | Emma Thornton         | 3x1                   | 3     | Low        | To engage all key staff in appropriate training both of the system and the ideals of the people to pay process. P2P project currently on hold due to possible procurement of new Finance system   | Dec-19                                     | 3X1                 | 3     | Low        |
| 715             | Loan to Broadacres Association fails because the third party no longer requires the loan, or encounters difficulties in their repayments and the income received by the council is reduced  | PR           | FIN         | Corporate Finance        | Louise Branford-White                  | Louise Branford-White | 3x5                   | 15    | High       | Ensure other income generating possibilities are being explored to maintain a balanced budget; monitor the third parties financial position to ensure they are in a secure position for the Council to loan the money; maintain good relations with the third party. Also note that the loan is secured with their housing stock  | On-going Funds to be taken 31st March 2019 | 3x1                 | 3     | Low        |
| GOOD GOVERNANCE |   |              |             |                          |  |                       |                       |       |            |   |  |                     |       |            |
| 228             | Failure to support Members' use of the Council's technology through review of technology and provision of appropriate training to Members results in Members unable to engage and respond to Citizens' requests resulting in public dissatisfaction with Members and the Council. | PR           | GOV         | ICT (inc. Reprographics) | Louise Branford-White                  | Matthew Pegden        | 3x2                   | 6     | Med        | Members are given ipad, Office365 and Modern.Gov training, use Members ICT panel to gather feedback and further training needs. Provide Cyber Security training to all Members  | Continuously monitored                     | 2x2                 | 4     | Low        |
| 582             | Weak user password resulting in a hacker gaining access to the network causing potential destruction/loss of data, fraudulent activity and loss of reputation.  | PR           | GOV         | ICT (inc. Reprographics) | Louise Branford-White                  | Peter Barber          | 2x5                   | 10    | Med        | Educate users, regular audit password strength and force users to change, build as part of Cyber Security training  | Continuously monitored                     | 2X5                 | 10    | Med        |
| 637             | Aging uninterruptible power supply (UPS), fire suppression and air con units in Civic Centre Server Rooms damage Server Room Equipment, resulting in loss of essential ICT systems and network and impacting internal and/or external service delivery.                           | PR           | GOV         | ICT (inc. Reprographics) | Louise Branford-White                  | Jenny Pan             | 1x1                   | 1     | Low        | New UPS, fire suppression & air cons with built-in resilience in new Server Room  | Continuously monitored                     | 1x3                 | 3     | Low        |

## ANNEX B

## HDC PROJECT RISKS 2018-19 Q4

| Risk ID | Risk Name   | Project Risk | CP Priority | 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 |
| 688     | Failure to deliver Green Waste solution for management of Green Waste subscriptions leads to customer dissatisfaction and loss of income through subscriptions.   | PR           | GOV         | ICT (inc. Reprographics) | Louise Branford-White                  | Nick Rorke               | 1x4                   | 4     | Low        | Solution delivered on time   | Primary Work Undertaken, 2017-2018             | 1x4                 | 4     | Low        |
| 689     | Failure to deliver Green Waste solution that allows online payment leads to manual process, causing considerable staff resourcing issues, delays for customers and impact to project timescales creating customer dissatisfaction and loss of income through subscriptions. | PR           | GOV         | ICT (inc. Reprographics) | Louise Branford-White                  | Alan Oxley / Nigel Boyes | 1x5                   | 5     | Med        | Solution delivered on time, back office functions completed  | Continuously monitored                         | 2x3                 | 6     | Med        |
| 690     | Failure to be able to send out list of addresses of people requiring Green Bins to 3rd party supplier of tags/stickers for customers' bins leads to customer dissatisfaction and loss of income through subscriptions.  | PR           | GOV         | ICT (inc. Reprographics) | Louise Branford-White                  | Nick Rorke               | 1x5                   | 5     | Med        | Solution delivered on time   | Primary Work Undertaken, 2018-2019             | 1x4                 | 4     | Low        |
| 691     | Failure to create effective WASS refuse and recycling rounds database and user interface  | PR           | GOV         | ICT (inc. Reprographics) | Louise Branford-White                  | Nick Rorke               | 2x4                   | 8     | Med        | Commit sufficient ICT resources to delivery of the project. Work with stakeholders and partners to ensure the solution that is delivered is fit for purpose. | Primary Work Undertaken, Completed By Dec 2019 | 2x4                 | 8     | Med        |

# ANNEX C

## HDC GENERAL RISKS WITH A NET RISK APPETITE THRESHOLD OF 12 OR ABOVE (excl Project risks) 2018-19 Q4

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| Risk ID                      | Risk Name  | CP Priority | Status | 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 |
| DRIVING ECONOMIC VITALITY    |  |             |        |                      |  |                                |                       |       |            |   |  |                     |       |            |
| 638                          | CIL income below expectations, leading to a lack of funding for infrastructure improvements and therefore further delivery of housing.   | EV          | Active | Planning             | Helen Kemp                             | Mark Harbottle / Ann Rawlinson | 4x3                   | 12    | High       | CIL monitoring post in place. Procedures to be developed to pursue non payment through the CIL regulations. Income low in part due to the levels of exemptions  | Quarterly review   | 4x3                 | 12    | High       |
| ENHANCING HEALTH & WELLBEING |  |             |        |                      |  |                                |                       |       |            |   |  |                     |       |            |
| NONE                         |  |             |        |                      |  |                                |                       |       |            |   |  |                     |       |            |
| CARING FOR THE ENVIRONMENT   |  |             |        |                      |  |                                |                       |       |            |   |  |                     |       |            |
| 542                          | 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"><li>• Significant risk of harm to the environment and public health if any contamination is not remediated.</li><li>• A potential significant financial burden on the Council.</li><li>• Significant reputational damage.</li></ul>  | Env         | Active | Environmental Health | Paul Staines                           | Vikki Flowers                  | 4x5                   | 20    | High       | <ul style="list-style-type: none"><li>• Documented procedures are in place and are reviewed periodically.</li><li>• 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.</li><li>• 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.</li><li>• There is no designated funding in the EH budget to carry out investigation and potential remediation of contaminated sites.</li></ul> | 30/03/2020<br>Review of Contaminated Land Strategy.  | 3x4                 | 12    | High       |
| 735                          | Failure to have an appropriate Management Information System (MIS) to collect data, create and maintain intelligent work processes, provide and analyse performance management information and provide data for statutory returns and other requests for information resulting in: <ul style="list-style-type: none"><li>• Inefficient working practices.</li><li>• Lack of effective performance management.</li><li>• Poor quality customer interaction.</li><li>• Increased customer complaints.</li><li>• Failure to provide information to Government agencies and other bodies/individuals.</li><li>• Failure to comply with data protection requirements.</li></ul> | Env         | Active | Environmental Health | Paul Staines                           | Vikki Flowers                  | 5x4                   | 20    | High       | <ul style="list-style-type: none"><li>• Current MIS is not fit for purpose.</li><li>• Data is recorded, however the system does not allow effective performance management, intelligent workflows, agile working solutions or effective customer interaction.</li><li>• Data retention is not compliant with statutory requirements.</li><li>• Lack of knowledge and expertise to make improvements.</li><li>• Following a review of the current system to identify deficiencies, it has been established that the required improvements are likely to be cost prohibitive.</li></ul>   | A review of other MIS providers is underway with a view to changing from the current provider. | 3x4                 | 12    | High       |
| 776                          | Failure to implement the Council's Information Policy and manage the data held by the service which may lead to: <ul style="list-style-type: none"><li>• Contraventions of General Data Protection Regulations</li><li>• Potential fine by the Information Commissioner</li><li>• Failure to make decisions leading to legal challenge</li><li>• Potential harm to customers if personal data is released.</li></ul>   | Env         | Active | Environmental Health | Paul Staines                           | Vikki Flowers                  | 5x4                   | 20    | High       | <ul style="list-style-type: none"><li>• A corporate Data Protection Policy is in place.</li><li>• An Information Asset Register has been completed for EH.</li><li>• A service specific Privacy Statement is being produced by Veritau.</li><li>• The service does not have any procedures for data retention and the current MIS does allow batch deletion. Work is ongoing to improve/ replace MIS provider.</li></ul>  | 31/03/20<br>Management Information System is implemented and fit for purpose.                  | 3x4                 | 12    | High       |
| 664                          | Customer Services Team is unable to cope with the influx of calls resulting in customer dissatisfaction and confusion  | Env         | Active | Waste & Street Scene | Paul Staines                           | Gary Brown                     | 4x5                   | 20    | High       | Significant volume of complaints and enquiries directed to WaSS and the implementation of new CRM system causes requirement for further resources to cope within timescales so as not to effect customer satisfaction. Monitor.... report to P. Staines Sept 17   | Completed  | 3x5                 | 15    | High       |

### A SPECIAL PLACE TO LIVE

## ANNEX C

**HDC GENERAL RISKS WITH A NET RISK APPETITE THRESHOLD OF 12 OR ABOVE** (excl Project risks)  
**2018-19 Q4**

| Risk ID | Risk Name   | CP Priority | Status | 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 |
| 426     | Failure to properly manage joint arrangements with NYCC Children & Young People's Service leads to safeguarding problems with homeless children, resulting in legal challenge and personal harm | SP          | Active | Strategic Housing | Helen Kemp                             | Alison Morton | 3x4                   | 12    | High       | Working closely with other LAs and NYCC 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 | On-going Quarterly reviews             | 3x4                 | 12    | High       |

## ANNEX C

HDC GENERAL RISKS WITH A NET RISK APPETITE THRESHOLD OF 12 OR ABOVE (excl Project risks)  
2018-19 Q4

| Risk ID   | Risk Name   | CP Priority | Status | 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 |
| <b>COMMUNICATIONS &amp; CUSTOMER EXCELLENCE</b> |   |             |        |                          |  |                       |                       |       |            |  |  |                     |       |            |
| NONE  |   |             |        |                          |  |                       |                       |       |            |  |  |                     |       |            |
| <b>GOOD FINANCES</b>                            |   |             |        |                          |  |                       |                       |       |            |  |  |                     |       |            |
| 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. | FIN         | Active | Corporate Finance        | Louise Branford-White                  | Louise Branford-White | 3x4                   | 12    | High       | The council completes a through review on an annual basis every year to identify 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 2019/20 and any changes incorporated into the financial strategy.  | Ongoing                                | 3x4                 | 12    | High       |
| 411   | Beyond 2017/18 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.                | FIN         | Active | Corporate Finance        | Louise Branford-White                  | Louise Branford-White | 3x4                   | 12    | High       | A greater emphasis on income generation across the Council has been introduced in the Commercial Strategy approved at Cabinet in November 2017. This is to ensure that income is generated to support future services for the Council.   | Ongoing                                | 3x4                 | 12    | High       |
| 412   | A continued low Bank Base Rate would impact on the Council's ability to generate investment income from balances.   | FIN         | Active | Corporate Finance        | Louise Branford-White                  | Ian Godfrey           | 4x3                   | 12    | High       | The market is continually monitored and estimates made for future investment income which are included in the financial strategy   | Monitored daily                        | 4x3                 | 12    | High       |
| 416   | Significant reductions in government grant leading to the inability to sustain council services at the current level.   | FIN         | Active | Corporate Finance        | Louise Branford-White                  | Louise Branford-White | 3x4                   | 12    | High       | An on-going programme of efficient service delivery, and saving reviews and a focus on income generation that ensures best value is being achieved and income is maximised.  | Ongoing                                | 3x4                 | 12    | High       |
| 786   | Failure to meet the target for business rate growth as reflected in the Financial Strategy would impact upon the financial resilience of the Council.   | FIN         | Active | Revenues & Benefits      | Louise Branford-White                  | Louise Branford-White | 3x4                   | 12    | 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   | Ongoing                                | 3x4                 | 12    | High       |
| 793   | Treadmills Purchase Phase 1 - Changes in the retail market that impact on our investment including financial difficulties of the tenants  | Corp        | Active | Commercial               | Mick Jewitt                            | Hannah Heinemann      | 4x4                   | 16    | High       | Monitor at the Capital Monitoring Group and agree appropriate asset management strategy  | Ongoing                                | 3x4                 | 12    | High       |
| 794   | Commercial Property Portfolio - Management of costs increasing or higher than expected  | Corp        | 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   | Ongoing                                | 3x4                 | 12    | High       |
| 795   | Commercial Property Portfolio - Rental income reducing due to business failures or delay in reletting units   | Corp        | 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.   | Ongoing                                | 3x4                 | 12    | High       |
| 796   | Commercial Property Portfolio - Legislation introduced that prohibits Local Authorities to borrow for commercial profit   | Corp        | Active | Commercial               | Mick Jewitt                            | Hannah Heinemann      | 4x4                   | 16    | High       | Continue to review and monitor current regulations and legislation.  | Ongoing                                | 3x4                 | 12    | High       |
| 797   | Commercial Property Portfolio - There is insufficient knowledge within the Council to support this commercial investment  | Corp        | Active | Commercial               | Mick Jewitt                            | Hannah Heinemann      | 4x4                   | 16    | High       | Regular monitoring reports from Property Investment Advisor should minimise this risk.   | Ongoing                                | 3x4                 | 12    | High       |
| <b>CORPORATE</b>                                |   |             |        |                          |  |                       |                       |       |            |  |  |                     |       |            |
| NONE  |   |             |        |                          |  |                       |                       |       |            |  |  |                     |       |            |
| <b>GOOD GOVERNANCE</b>                          |   |             |        |                          |  |                       |                       |       |            |  |  |                     |       |            |
| 677   | Cyber attack facilitated by user error leads to loss of key ICT infrastructure resulting in reduced ability to provide ICT Services   | GOV         | Active | ICT (inc. Reprographics) | Louise Branford-White                  | Jenny Pan             | 5x3                   | 15    | High       | Compulsary annual Cyber Security training for all users, Cyber Security Incident Management Plan in place, actively monitor and review ICT security policies, participate in WARP (Warning, Advice and Reporting Point) to share knowledge and information with other Councils, arrange ICT staff training to keep up with the latest development. Review Cyber Liability Insurance as supplier changed rules significantly. | Continuously monitored                 | 3x5                 | 15    | High       |

# ANNEX C

## HDC GENERAL RISKS WITH A NET RISK APPETITE THRESHOLD OF 12 OR ABOVE (excl Project risks) 2018-19 Q4

| Risk ID | Risk Name   | CP Priority | Status | 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 |
| 185     | Loss of key ICT staff results in loss of key skills and capacity for resilience within the service leading to inability to fully support ICT systems leading to systems failures which result in failure to deliver Council services. | GOV         | Active | ICT (inc. Reprographics) | Louise Branford-White                  | Jenny Pan    | 3x4                   | 12    | High       | Good staff development and regular training to ensure staff are abreast of latest developments in technology. Review staff pay structure to reflect market price, use third party for assistance if needed. | Continuously monitored                 | 3x4                 | 12    | High       |

## **HAMBLETON DISTRICT COUNCIL**

**Report To:** Scrutiny Committee  
13 June 2019

**From:** Chairman of Scrutiny Committee

**Subject:** **POLICY REVIEW WORK PROGRAMME 2019/20**

All Wards

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### **1.0 SUMMARY:**

- 1.1 The purpose of this report is to invite the Committee to consider areas of policy review work for 2019/20.

### **2.0 BACKGROUND:**

- 2.1 It is in the Council's Constitution that as a guideline the Council's Scrutiny Committee should undertake two policy reviews each year. However as in recent years it is suggested that only one topic for review be identified initially and that the position with regard to further reviews be considered mid year.
- 2.2 It is now necessary for review topics for 2019/20 to be determined. 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

- Promote growth of local economy
- Support economic growth through planning
- Enable businesses to set up and grow
- Provide business friendly services
- Establish links with education
- Maximise private sector investment in the district. ' Improve market town vitality and viability

#### Enhancing Health and Wellbeing

- 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

#### Caring for the Environment

- Improve efficiency of collections and recycling
- Improve customer satisfaction
- Reduce CO<sub>2</sub> and improve energy efficiency

#### Providing a Special Place to Live

- 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

### **3.0    RECOMMENDATION:**

- 3.1    It is recommended that the Committee identifies and agrees suitable topics for policy review for 2019/20.

COUNCILLOR DAVID HUGILL  
CHAIRMAN

**Background papers:**            None

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