

# Public Document Pack

**HAMBLETON**  
**DISTRICT COUNCIL**

## AGENDA

Committee Administrator: Democratic Services Officer (01609 767015)

Wednesday, 13 November 2019

Dear Councillor

### NOTICE OF MEETING

Meeting           **SCRUTINY COMMITTEE**

Date               **Thursday, 21 November 2019**

Time               **9.30 am**

Venue             **Conference Room, Evolution Business Centre, 6 County Business Park, Darlington Road, Northallerton, DL6 2NQ**

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 meeting held on 24 October 2019 (SC.14 - SC.17), previously circulated.

2. APOLOGIES FOR ABSENCE

3. COUNCIL PERFORMANCE 2019/20 (QUARTER 2)

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Report of the Director of Finance and Commercial (s151 Officer)

4. REVIEW OF RISK MANAGEMENT

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Report of the Director of Finance and Commercial (s151 Officer)

5. POLICY REVIEW - RECYCLING

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Report of the Chairman

6. MATTERS OF URGENCY

Any other business of which not less than 24 hours' prior notice, preferably in writing, has been given to the Chief Executive and which the Chairman decides is urgent.

## **HAMBLETON DISTRICT COUNCIL**

**Report To:** Scrutiny Committee  
21 November 2019

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

**Subject:** **COUNCIL PERFORMANCE 2019/20 (QUARTER 2)**

All Wards

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

- 1.1 The revised Council Plan for 2019 - 2023 was approved by Council on 17 September 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 Scrutiny Committee with details on progress towards the Council's aims. Progress is reported on a cumulative year-to-date basis, with the actual results achieved during quarter 2 being provided which enables a comprehensive review.
- 1.4 The public has access to this information through these published reports.
- 1.5 The Council's Performance and Risks are also reported quarterly to Management Team.

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

- 2.1 An overview of performance against each Council priority is attached in Annex 'A'.
- 2.2 In summary, 92.3% or 24 KPIs performed within tolerance at quarter 2.
- 2.3 The KPI's not meeting their target or performing below tolerance at quarter 2 are:

- 2.3.1 Increase the number of minor planning applications determined within 8 weeks, or as agreed with the applicant, to 85%

Target at Q2 – 85%	Actual at Q2 – 75.2% (94 out of 125)
YTD Target at Q2 – 85%	YTD Actual at Q2 – 79.2% (217 out of 274)

The volume of work, staff turnover and staff absence has had an impacted upon performance.

Negotiations on improvements to schemes also extends the time for determination. The Council approval rate on applications for all minor decisions is high at 82%.

Additionally, the employment of two agency staff has enabled 'old' schemes to be progressed to decision but has also resulted in older, undetermined applications coming through which have been reported in this quarter's performance statistics, lowering the overall level of performance reported at quarter 2.

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

Target Q2– 80%	Actual Q2 – 0% (0 out of 1)
YTD Target at Q2 – 80%	YTD Actual at Q2 – 0% (0 out of 1)

In Q1 planning permission was refused on a site due to the low amount of affordable housing being offered on the proposed site. This decision went to appeal. During the course of the appeal new evidence was presented which demonstrated that the lower amount of affordable housing was acceptable. The Council accepted this position and the appeal was subsequently upheld.

In Q2 there were no appeal decisions relating to major development.

### **3.0 CONCLUSIONS:**

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

### **4.0 RECOMMENDATION:**

- 4.1 It is recommended that the Scrutiny Committee considers the progress made at Q2 against the Council Plan 2019 - 2023, as detailed in Annex 'A'.

LOUISE BRANFORD-WHITE  
DIRECTOR OF FINANCE AND COMMERCIAL (s151 OFFICER)

Background papers: Departmental Service Plans

Author ref: Louise Branford-White  
Director of Finance and Commercial (s151 Officer)  
Direct Line No: (01609) 767024  
  
Emma Thornton, Principal Financial Projects Officer  
Direct Line No: (01609) 767047

## **Council Performance Quarter 2**

**1 July – 30 September 2019**

This report provides information on performance towards the Council Business Plan Priorities for the second quarter of 2019/20, as reported to the Management Team on 30 October 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> <li>– Forging links with local businesses to support their ambitions</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 2	YTD	Q2Actions / Comment
Facilitate 28 young people into local small businesses by April 2020 through apprenticeships and the graduate scheme.	28	15 Apprentices 0 Graduates	17 Apprentices 0 Graduates	<p>This target is profiled to reflect the academic year. Profile Q1 = 2, Q2 = 10, Q3 = 8 Q4 = 8.</p> <p>In Q2, 15 applications received for Apprentice funding, 14 approved and 1 declined. There has been 1 initial phone enquiry regarding the Graduate scheme.</p>
Support £1m of new business investment in Hambleton during 2019/20.	£1m	£501,687	£501,687	<p>In Q2, £501,687 of funding was secured with a further £640,031 match funded from business investment. Total funds secured £1,141,718.</p> <p>This target is to be achieved by the end of the financial year.</p>
Increase footfall across Hambleton's Market Towns by 5% during 2019/20.	5%	8.5% (4,312,574)	7.3% (4,368,209)	<p>Footfall data is monitored closely and evidence suggests that footfall remains constant across all five market towns during this quarter, dropping a little in September. The use of new technology which provides more robust data is being explored.</p> <p>Q2 figures show an increase in footfall of 339,447 (8.5%) compared to data for Q2 2018/19, when footfall was 3,973,127. This may be influenced by the fact that we have installed 2 new counters.</p>

Indicator	Target / Benchmark	Quarter 2	YTD	Q2 Actions / Comment
Achieve a level of Business Rate collection of 98% during 2019/20.	98%	64.27%	64.27%	<p>Performance is above target.</p> <p>The collection rate for Q2 has increased by 3.51% against the collection rate at Q2 for 2018-9 which was at 60.76%.</p> <p>In monetary value the Council has collected £1,181,000 more than at Q2 in 2018-19.</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>
Achieve a level of Council Tax collection of 98% during 2019/20.	98%	64.36%	64.36%	<p>Performance is above target.</p> <p>The collection rate for Q2 has increased by 5.82% against the collection rate at Q2 for 2018-19 which was 58.54%.</p> <p>In monetary value the Council has collected £6,345,000 more than at Q2 in 2018-19.</p> <p>Changes in the amount due to be collected can vary due to changes in the tax base and levels of discounts.</p>
Increase the number of major planning applications determined within 13 weeks, or as agreed with the applicant, to 80%.	80%	90% (9 out of 10)	95% (18 out of 19)	<p>Focussed effort by staff to keep applicants and agents appraised of progress has enabled agreement to be reached on all the proposals during Q1 and 90% in Q2. All major development proposals were approved.</p>
Increase the number of minor planning applications determined within 8 weeks, or as agreed with the applicant, to 85%.	85%	75.2% (94 out of 125)	79.2% (217 out of 274)	<p>The volume of work, staff turnover and staff absence has had an impacted upon performance.</p> <p>Negotiations on improvements to schemes also extends the time for determination. The Council approval rate on applications for all minor decisions is high at 82%.</p> <p>Additionally, the employment of two agency staff has enabled 'old' schemes to be progressed to decision but has also resulted in older, undetermined applications coming through which have been reported in this quarter's performance statistics, lowering the overall level of performance reported at quarter 2.</p>

Indicator	Target / Benchmark	Quarter 2	YTD	Q2 Actions / Comment
Achieve 8 out of 10 success rate in defending appeals where major developments are refused planning permission.	80%	No Appeals	0% (0 out of 1)	<p>In Q1 Planning permission was refused on a site due to the amount of affordable housing offered on the proposed site. This decision went to appeal. During the course of the appeal new evidence was presented which demonstrated that the lower amount of affordable housing was acceptable. The Council accepted this position and the appeal was subsequently upheld.</p> <p>In Q2 there were no appeal decisions relating to major development.</p>

Other activity and items of interest for this Priority during Quarter 2			
<b>Business &amp; Economy</b>	Business Support	<ul style="list-style-type: none"> <li>250 businesses advised directly about Union Cycliste Internationale – hand delivered window dressing details, business letters and provided support on how to maximise the opportunities of Union Cycliste Internationale. Managed all the business relationships and queries. Advised businesses on the length of the route in Hambleton and on industrial estates and business parks. Delivered the business liaison as part of the core team of 5 to deliver this event and supported the BID to deliver the Community Area. In Northallerton it attracted 8,276 extra people compared to last four Wednesdays average and 9,930 extra compared to comparable Wednesday's in 2018.</li> </ul>	
	Vibrant Market Town	<ul style="list-style-type: none"> <li>Work is underway in partnership with the Northallerton BID to publish a Design Guide for Northallerton which it is anticipated will be adopted by the council in December 2019 as a supplementary planning document. Feedback from consultation with the wider community has been analysed and a draft Design Guide has been prepared for consideration by key stakeholders.</li> <li>Hosted a successful "Northallerton's Hidden Heritage" event on 8th September in partnership with Northallerton &amp; Villages Community Forum. The event demonstrated an interest in, and appetite for, a heritage resource centre in Northallerton and the team is now working with the Woodhams Stone Collection in Malton to explore how a similar community-led facility could be established in Northallerton.</li> <li>Produced a business-sponsored town map which is displayed in the noticeboard in Easingwold Market Place and work is now underway to publish a "Welcome Pack for New Residents" in Easingwold in partnership with the Wold Class Business Network.</li> <li>A further £462 was awarded to Easingwold Town Council to help with the costs of installing a "Market Town" sign on the outskirts of the town.</li> <li>The team awarded a grant of £500 to Thirsk &amp; District Business Association as a contribution towards the design, printing and distribution of 10,000 leaflets promoting Christmas events in Thirsk.</li> <li>A successful farmers market was held in Thirsk on 22nd September. It has now been agreed that the Northern Dales Farmers market will host markets in Thirsk on the first Sunday of every month in 2020</li> <li>Worked closely with the Northallerton BID and Northallerton Town Council to ensure local businesses benefited from the Union Cycliste Internationale Cycling World Championship in September 2019.</li> <li>The team is working closely with David Shields and Keith Balfour at Welcome to Yorkshire to ensure that Hambleton's tourist 'offer' is promoted through all available media channels and that Welcome to Yorkshire's priorities regarding tourism are aligned with those of the council.</li> <li>The team hosted a meeting of local residents, businesses and Northallerton Town Council to consider entering 'Yorkshire in Bloom'. It was agreed that the Vibrant Market Towns team, Northallerton BID and Northallerton Town Council will work together to prepare a submission in readiness for the competition in 2020</li> </ul>	



Other activity and items of interest for this Priority during Quarter 2		
<b>Business &amp; Economy</b>	Skills Village	<ul style="list-style-type: none"> <li>An Initial meeting held with Legal and Planning establishing if the Section 106 land can be drawn down early without cost or risk to Hambleton District Council. It has been established that applying for a license to occupy the land may be the solution. Follow on meeting held with Developers, Lisa Wilson – Communities Manager - will provide an update about the land and early draw down. Both developers are keen to move forward with the land and also agreed that applying for a 'license to occupy' would enable the land to be released before the due date of 2021. Business &amp; Economy to meet again with Planning to discuss what would be required to submit a future planning application for the Skills Village.</li> </ul>
	North Northallerton Development Area	<ul style="list-style-type: none"> <li>Development company have confirmed that the Official Journal of the European Union (OJEU) process for the bridge has commenced.</li> <li>Contract variation agreement for the Local Growth Funding from the Local Enterprise has been approved.</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>Reduce health risks due to food safety improvements</li> <li>Reduced health risk due to non-compliant private water supplies</li> </ul>		
Indicator	Target / Benchmark	Quarter 2	YTD	Q2Actions / Comment
Achieve health & fitness membership base of 3,192 in 2019/20.	3,192	3,564	3,532	The target has been achieved in Q2. This is a year-end target and fluctuation is anticipated throughout the year. Three centres are achieving above target.
Achieve 'Learn2 Swim' membership base of 2,645 in 2019/20.	2,645	2,620	2,649	The YTD target has been achieved.
Successfully allocate 100% (£236,600) of community grants in 2019/20.	100% (£236,600)	100% (£236,600)	100% (£236,600)	<p>The Community Grants Budget for 2019/20 is made up from the following grant funds:</p> <ul style="list-style-type: none"> <li>- Making a difference Grants of £125,000</li> <li>- Hambleton Help Grants of £48,700</li> <li>- Partnership Grants £62,900.</li> </ul> <p>The full budget for each grant fund is allocated in Q1 to ensure that the budgets are spent by the end of the financial year.</p>

Indicator	Target / Benchmark	Quarter 2	YTD	Q2Actions / Comment
Complete 100% (85/85) of high/medium risk food premises inspections in 2019/20.	100% (85/85)	31% (26)	53% (45)	To complete 85 high/medium risk food premises inspections by the end of the year. Profile: Q1 - 19; Q2 - 21; Q3 - 24; Q4 - 21 = 85 (profile reflects due dates).
Complete 100% (22/22) of private water supply risk assessments in 2019/20.	100% (22/22)	31% (7)	54% (12)	To complete 22 assessments by the end of the year. Profile: Q1 - 5; Q2 - 5; Q3 - 5; Q4 - 7 = 22.

Other activity and items of interest for this Priority during Quarter 2		
<b>Environmental Health</b>	Food Hygiene	<ul style="list-style-type: none"> <li>Compliment received from a food business in Stokesley where issues had been identified on a routine inspection and the officer worked with the business operator to improve standards and the business has now increased its Food Hygiene Rating to five.</li> <li>Compliment received following advice provided relating to development of Woodland lodges and restaurant in Carlton Miniott.</li> <li>Officers from the Commercial Team discovered very poor standards of hygiene in a premises near Easingwold and although the officer did not require the premises to close, the operator of the premises took the decision to close while the required works were carried out. The officer worked with the management of the business over several visits to secure compliance with hygiene standards.</li> </ul>
	Noise Nuisance	<ul style="list-style-type: none"> <li>Officers in the Residential Team have been dealing with several noise complaints relating to pubs and restaurants in Stokesley. Numerous visits have taken place to the complainant's homes and the businesses including late evening visits. A further Minister of Parliament enquiry regarding this case has also been responded to. Investigations are on-going.</li> <li>Officers from the Residential Team worked out of hours to carry out noise monitoring at two events at Lenthor Farm and spent considerable time working with the event organisers. Both events went ahead without any major issues.</li> </ul>
	Health and Safety	<ul style="list-style-type: none"> <li>Officers in the Commercial team have carried out further investigation into an accident at an outdoor activity venue.</li> </ul>

## PRIORITY – Caring for the Environment

<b>Purpose:</b> <ul style="list-style-type: none"> <li>– Maintain high quality and efficient waste and recycling collections</li> <li>– Improve customer satisfaction</li> <li>– Reduce CO2 and improve energy efficiency</li> </ul>		<b>Outcome:</b> <ul style="list-style-type: none"> <li>– Decreased landfill waste</li> <li>– Improve service to customers</li> <li>– Environmental sustainability</li> <li>– Clean litter environment</li> </ul>		
Indicator	Target / Benchmark	Quarter 2	YTD	Q2 Actions / Comment
Maintain a recycling rate of 47%.	47%	53.69% (Est)	54.39% (Est)	Above target. Statistics are monitored quarterly in arrears.
Implement fly tipping and littering enforcement policy including established monitoring of the policy.	100% Complete	95% Complete	95% Complete	Investigations carried out as to where fly tipping is occurring, with a view to obtaining evidence to support any further action that may be required. This will support the final KPI outcome.
Facilitate 52 community litter picks in 2019/20.	52	8	40	<p>Target achieved for Q2. In Q1, litter collected was estimated to be 4 tonnes, and fly tipping was estimated to be 3 tonnes.</p> <p>Q2, litter est 1 tonne (no fly tipping collected by community groups).</p>

Indicator	Target / Benchmark	Quarter 2	YTD	Q2 Actions / Comment
Improve efficiency of lighting by reducing energy consumption by 200,000 Kwh in 2019/20.	200,000 Kwh	49,026 Kwh	121,458 Kwh	<p>Have over achieved the target at Q2 for the electrical energy saving profile through the installation of energy efficient lighting across the Council's premises and public lighting infrastructure.</p> <p>The Estimated Annual Consumption is the public lighting infrastructure electric power consumption per year. (EAC – Estimated Annual Consumption in Kilowatt hours).</p> <p>Baseline EAC 01/04/2019 = 773,890 Kwh (assessed 01/02/2019)</p> <p>EAC assessed 01/05/2019 = 732,277 Kwh saving = 41,613Kwh</p> <p>EAC assessed 01/06/2019 = 701,458 Kwh saving = 30,819Kwh</p> <p>EAC assessed 01/08/2019 = 652,432 Kwh saving = 49,026Kwh.</p> <p>Therefore the annual public lighting energy consumption at the year to date has been reduced by 121,458Kwh. This is the difference between the baseline consumption at 01/04/2019 and the estimated annual consumption at the end of quarter 2 on 30/09/2019.</p>

Other activity and items of interest for this Priority during Quarter 2		
None Reported		

## 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> <li>– Shape places across the district through the Local Plan</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 2	YTD	Q2 Actions / Comment
Maintain, each year, a minimum 5-year supply of deliverable housing sites.	5 yrs	9.4 yrs	9.4 yrs	Hambleton District Council's five year supply is 9.4 yrs. i.e. over the next five years to 2024 it is expected that 3,103 dwellings be built against a requirement of 331 units per year (that is 315 plus 5% buffer) so $3,103 / 331 = 9.4$ years' worth of supply.
Publish the new Local Plan by July 2019.	100%	Approved and going to public representation 30 July 2019	Approved and going to public representation 30 July 2019	The Local Plan was approved for publication at cabinet on 2 July 2019.  It was provided for public representation from 30 July 2019 to 17 September 2019.  The date for final submission for examination by the Planning Inspectorate is still to be agreed.
Deliver an additional 315 new homes by April 2020.	315	112	245	Target achieved. The provisional figures for Quarter 2 show 112 completions.
Ensure 100% of homelessness decisions are made within 56 days.	100%	100%	100%	Target achieved.
Ensure a total of 85% of funds for disabled facilities applications is spent.	85% (£573,784)	Amount Committed £243,190 (42.4%) Amount Spent £156,767 (27.3%)	Amount Committed £243,190 (42.4%) Amount Spent £156,767 (27.3%)	2019/20 capital budget is £675,040, 85% spend is £573,784.  Q2 - Amount committed for expenditure is £243,190. Amount Spent is £156,767. Total £399,957.  The target at Q2 has been achieved.

Indicator	Target / Benchmark	Quarter 2	YTD	Q2 Actions / Comment
Process new housing benefit claims within 20 days in line with North Yorkshire authorities.	20 days	14.07days	15.44 days	<p>Year to date, 147 claims processed, taking 2,269 days. Average processing time per claim 15.44 days.</p> <p>67 less new claims were received this quarter than in same quarter for 2018/19. Universal Credit and an increase in the amount of Housing Benefit claims being processed by the Department for Work and Pensions is one reason for the reduction in claims.</p> <p>Speed of processing can also be affected by local policy changes; therefore care should be taken when making comparisons with other Local Authorities.</p>
Process new council tax claims within 20 days in line with North Yorkshire authorities.	20 days	11.94 days	13.62 days	<p>Year to date, 925 claims processed, taking 12,602 days. Average processing time per claim 13.62 days.</p> <p>114 more new claims were received this quarter than in same quarter for 2018/19.</p>
Process housing benefit changes in circumstance within 7 days in line with North Yorkshire authorities.	7 days	2.13 days	2.46 days	<p>Year to date, 3,869 changes in circumstances processed, taking 9,525 days. Average processing time per claim 2.46 days.</p> <p>174 less changes in circumstances were processed compared with this quarter in 2018/19. Universal Credit and an increase in the amount of Housing Benefit claims being processed by the Department for Work and Pensions is one reason for the reduction in claims.</p> <p>As speed of processing can be affected by local policy changes then care should be taken when making comparisons with other Local Authorities.</p>
Process council tax changes in circumstance within 7 days in line with North Yorkshire authorities.	7 days	2.36 days	2.38 days	<p>Year to date, 7,134 claims processed, taking 16,966 days. Average processing time per claim is 2.38 days.</p> <p>131 less changes in circumstances were processed compared with this quarter in 2018/19.</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	2016-17		2017-18		2018-19		2019/20 Q1		2019/20 Q2		2019/20 Q3		2019/20 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	26.26	27.52	18.49	19.52	21.02	19.63	24.44	12.89						
Harrogate	19.52	21.35	25.34	22.98	26.29	23.79	-	-						
<b>HAMBLETON</b>	<b>28.43</b>	<b>23.62</b>	<b>25.61</b>	<b>20.76</b>	<b>15.03</b>	<b>15.34</b>	<b>15.00</b>	<b>17.00</b>						
Scarborough	16.66	18.27	17.60 (Q3 only)	19.90	17.47	21.83	13.64	14.37						
Selby	21.14	19.32	22.54	21.86	22.82	21.04	24.89	14.33						
Richmondshire	22.26	18.32	18.60 (Q2 only)	16.66	17.96	34.34	37.66	43.93						
Ryedale	38.11	32.16	28.60	23.96	27.36	16.81	24.18	19.50						

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

North Yorks Region	2016-17		2017-18		2018-19		2019/20 Q1		2019/20 Q2		2019/20 Q3		2019/20 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	5.61	4.86	7.40	4.49	6.15	5.69	4.38	5.82						
Harrogate	6.56	5.18	7.55	6.22	6.20	4.32	-	-						
<b>HAMBLETON</b>	<b>5.45</b>	<b>5.29</b>	<b>6.24</b>	<b>5.78</b>	<b>2.99</b>	<b>2.70</b>	<b>3.00</b>	<b>3.00</b>						
Scarborough	4.53	4.39	5.60(Q3 only)	4.68	6.42	5.00	7.91	4.17						
Selby	4.07	4.23	3.99	4.55	5.17	3.66	4.05	3.04						
Richmondshire	4.58	3.33	4.90 (Q2 only)	3.29	6.37	2.89	0.12	5.29						
Ryedale	4.84	5.10	11.98	6.28	5.12	3.37	2.41	5.28						

Other activity and items of interest for this Priority during Quarter 2		
<b>Customer Services &amp; Communications</b>	Customer Services	<ul style="list-style-type: none"> <li>Support continued to the current year 3 garden waste subscription service with £783,265 income (102.1% of year 2) as at 14 October 2019. Preparations for year 4 service provision are ongoing.</li> </ul>
	Technical Communications	<ul style="list-style-type: none"> <li>The website, microsites, Junction intranet and social media accounts require regular update. The most successful social media campaigns during quarter 2 were Union Cycliste Internationale (UCI), Lambert Hospital and also increased interest in the Apprenticeship Scheme resulting in increased reach and interaction with the public.</li> </ul>
	Communications and Graphics	<ul style="list-style-type: none"> <li>Considerable support has been provided to the new style Council Plan 2019-23 following input from Communications Consultant. In addition high levels of support to the Union Cycliste Internationale (UCI) World Championships across both Hambleton and Richmondshire District Councils, requiring prioritisation in corporate requirements in order to fully support the event.</li> </ul>
<b>Design &amp; Maintenance</b>	Events	<ul style="list-style-type: none"> <li>Support for the delivery of the Union Cycliste Internationale World cycling championships in Northallerton.</li> <li>Farmers market held in September at Thirsk.</li> </ul>
<b>ICT</b>	ICT Support	<ul style="list-style-type: none"> <li>ICT successfully provided internet support to TV and Timing Companies for Union Cycliste Internationale broadcasting.</li> </ul>
<b>Legal Services</b>	Legal	<ul style="list-style-type: none"> <li>Successfully defended at Court a decision of the Licensing Appeals and Hearings Panel to revoke a taxi driver licence.</li> </ul>
	Electoral	<ul style="list-style-type: none"> <li>Annual canvass underway. With 8 weeks to go until publication of the register we have received and processed 91% of the returned household enquiry forms.</li> </ul>
<b>Strategic Housing</b>	Homelessness Prevention Scheme service delivery and TUPE	<ul style="list-style-type: none"> <li>Ongoing work associated with this process.</li> </ul>



## **HAMBLETON DISTRICT COUNCIL**

**Report to:** Scrutiny Committee  
21 November 2019

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

**Subject:** **REVIEW OF RISK MANAGEMENT 2019/20 Q2**

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. The updated Risk Management Framework was recommended for approval by Audit, Governance and Standards Committee on 22 October 2019 for Council on 17 December 2019.
- 1.3 All risks are reviewed by the relevant service manager on a quarterly basis to reflect upon their appropriateness and the adequacy of a mitigating action plan.
- 1.4 The Strategic Risk Management Group meet quarterly to drive all aspects of risk management compliance for the authority, supporting the quarterly monitoring roles performed by Management Team and the Scrutiny Committee. The group act as risk 'champions' ensuring risk management has an appropriate profile and sufficient focus on the corporate agenda.
- 1.5 Management Team conduct an 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 Audit, Governance and Standards Committee receive the Risk Register annually in October and also if significant changes are made, on an adhoc basis.
- 1.7 The process of managing risk is approved by Audit, Governance & Standards Committee on an annual basis in the Annual Governance Statement presented to members in July.

### **2.0 CHANGES IN RISK MANAGEMENT PROCESS:**

- 2.1 During Q2, a new corporate risk was added to the Council's risk register relating to a 'No Deal' BREXIT of the United Kingdom from the European Union. Service managers were asked to assess and report on how the risks may affect their service areas, so an overall BREXIT risk for the authority could be formulated.

2.2 In Q2, 76 risks were changed. 23 new risks were identified. A further 3 risks were closed. The authority currently holds a total of 406 active risks across all service areas.

2.3 Extracts of the current risk register displaying active Corporate Risks at Q2 are attached at Annex A, Key Corporate Project Risks are attached at Annex B and Service Risks with a Net Risk Threshold of 12 or Above are attached at Annex C.

### **3.0 RISK MANAGEMENT:**

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

### **4.0 RECOMMENDATIONS:**

4.1 It is recommended that the Committee note:

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

LOUISE BRANFORD-WHITE  
DIRECTOR OF FINANCE AND COMMERCIAL (S151 OFFICER)

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

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

Emma Thornton  
Principal Financial Projects Officer  
Direct Line No: (01609) 7670474

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
157	<b>Health &amp; Safety Lone Working Practices</b> are not as effective as they should be leading to potential physical risk and/or sub-standard service, performance, financial and reputational losses and legal challenge.	All Services	Paul Staines	All Service Managers	2x5	10	Med	<ul style="list-style-type: none"> <li>HDC implements suitable arrangements where all services work to the Council's 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 and practice in place</li> <li>All relevant staff to receive Health and Safety training</li> <li>A system of monitoring and review is being implemented where Health and Safety Group monitor risk assessment management and associated Key Performance Indicator's. Review of lone working practices to be carried out by risk manager. Audits of lone working and violence and aggression are being carried out by North Yorkshire County Council's Health and Safety Adviser in Q3 and Q4.</li> </ul> </li> </ul>	On-going	1x3	3	Low
254	<b>Health &amp; Safety Workplace Risk Assessment</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.	All Services	Paul Staines	All Service Managers	5x5	25	High	Each service to implement their service specific action plan to undertake service risk assessments and workplace inspections annually. Services to work to the Hambleton District Council's Health & Safety Policy and arrangements for risk assessments. - Responsible Officer to assist shared learning and practices across the organisation.	Ongoing	2x3	6	Med
407	Failure to develop and maintain an effective <b>Business Continuity Plan</b> leads to lack of resilience or inability to access Hambleton District Council's services resulting in loss of service or failure of service delivery.	All Services	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 liaison 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. Emergency kits are not in place yet. Desktop testing taking place Q3 and 4	1x4	4	Low
512	Failure to follow <b>General Data Protection Regulation Requirements</b> and failure to follow the Council's Information Policy leads to a violation of Data Protection Act which could lead to a fine by the Information Commissioner's Office and creates a risk of legal challenge and reputational damage where regulations are not complied with.	All Services	Gary Nelson	Laura Venn 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/ General Data Protection Regulation updates.	On going	2x2	4	Low
522	Failure of the <b>Council's 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.	All Services	Helen Kemp	Sandra Hall & All Services	3x3	9	Med	Website hosted and supported offsite to minimise risk and current information maintained and review on a regular basis. Plans to ensure compliance with web accessibility legislation being introduced September 2020 are ongoing. Individual action plans within services established to reduce gross risk - further progress (as planned) needed with these to decrease the likelihood score further with an expectation that this will lead to a net risk of 1x3 during Q3.	Ongoing	2x3	6	Med

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
602	Failure to comply with the <b>Public Sector Equality Duty</b> will put the organisation at risk of legal challenge and reputational damage	All Services	Gary Nelson	Lynne Halls & All Services	3x4	12	High	Service Managers with advice and guidance from Human Resources will ensure that the General and Specific requirements of the Public Sector Equality Duty are met. All Managers and Staff who follow the requirements of the Equality and Diversity Policy and Procedure and take part in any relevant training as listed in Appendix B of the Learning and Development Policy.	Ongoing	1X3	3	Low
709	Failure to set a balanced <b>Annual Budget</b> which is reflected in the 10 year Financial Strategy.	All Services	Louise Branford-White	Saskia Calton	1x4	4	Low	Complete and challenge the Budget setting process, generate income, create efficiency savings, reduce the current budget, monitor and manage the position. Report to Cabinet and Council on an annual basis prior to the new financial year and monitor on a quarterly basis.	Annually - February and Quarterly monitoring	1x3	3	Low
798	<b>Staff attendance</b> - Failure to effectively manage staff attendance at work leads to potential physical risk, reduced staffing levels and/or sub-standard service with regards to possible financial, environmental and reputational losses and legal challenge.	All Services	Gary Nelson	Lynne Halls & All Services	2x3	6	Med	Service Managers with advice and guidance from Human Resources will manage the attendance of staff so contractual requirements are met. This will involve invoking policies such as Sickness Absence Management, Leave, Flexi Time, Capability and Recruitment and Selection.	Ongoing	1X3	3	Low
800	<b>Training and Development</b> - Failure to plan, resource and implement and ensure attendance at mandatory corporate training and development (in line with Appendix B of the Learning and Development Policy and Procedure) for employees leads to potential physical risk and/or sub-standard service with regards to possible financial, environmental and reputational losses and legal challenge	All Services	Gary Nelson	Lynne Halls & All Services	1X3	3	Low	Human Resources will liaise with Service Managers to ensure that any mandatory training is scheduled onto the Learning and Development Calendar. Human Resources will also work with Service Managers to ensure staff attend corporate mandatory learning and development activities. Human Resources will also work with Service Managers to resolve issues of non-attendance of departmental mandatory learning and development.	Ongoing	1X3	3	Low
814	Failure to prepare for a <b>No Deal Brexit</b> leads to a disruption to services and an inability to service local needs - <ul style="list-style-type: none"> <li>Fuel shortages affect refuse collection</li> <li>Fuel shortages affect individuals ability to get to work</li> <li>Extra demand for council services due to hardship</li> <li>Internal capacity to deal with changes in regulatory services</li> <li>Failure to manage communications with businesses/community/voluntary leads to reputational damage</li> </ul>	All Services	Paul Staines	Paul Staines	3X4	12	High	<ul style="list-style-type: none"> <li>Engage with Local Resilience Forum partners at a strategic and tactical level using established emergency planning protocols</li> <li>Report by exception to Yorkshire and Humber lead Brexit Officers through Leeds City Council</li> <li>Use Local Government Association toolkit for communication</li> <li>Internal task and finish group to prepare for all related issues.</li> <li>Communicate with service managers forum to ensure business continuity plans reflect the risk.</li> </ul> Corporate Brexit plan approved by Management Team on 16/10/2019.	13/09/2019 - Local Resilience Forum met and toolkit received 23/09/2019 Task and Finish group set up and service managers communicated with	3X3	9	Med

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
<b>Driving Economic Vitality</b>												
<b>Northallerton Bridge and Road Development</b>												
629	Northallerton Bridge and Road Development - North Northallerton project slippage: unutilised grant funding is lost if it cannot be used in line with the timetable set out in the funding agreement	Business & Economy	Helen Kemp	Nicole Patterson & Sam Swinbank	3x5	15	High	The Council is working closely with the Developer Consortium and the relevant stakeholders to ensure the project can be delivered on time. Obligations on project delivery will seek to pass on risk of project slippage to Developer Consortium to mitigate risk to the Council. Project Slippage has forced the need for a contract variation for the Local Enterprise Partnership Local Grant Funding. The Local Enterprise Partnership has agreed this and the variation is being progressed.	Mar-19	2x5	10	Med
631	Northallerton Bridge and Road Development - North Northallerton Development project proceeds but its viability is detrimentally affected by loss of grant. Other development costs would have to be reduced to make the project viable.	Business & Economy	Helen Kemp	Nicole Patterson & Sam Swinbank	2x5	10	Med	Risk has reduced on receipt of Local Enterprise Partnership Grant. Need to continue to monitor affordable & develop margin and viability for affordable housing. Project variation referenced at risk 629 will maintain the mitigation of this risk.	2028	1x5	5	Med
632	Northallerton Bridge and Road Development -North Northallerton Project is delayed or stalls completely, adversely affecting the Council's supply of housing and employment land.	Business & Economy	Helen Kemp	Nicole Patterson & Sam Swinbank	5x5	25	High	The situation is monitored and regular communication maintained with the developer consortium and stakeholders to ensure delivery of project	2028	3x5	15	High
<b>Central Northallerton Redevelopment</b>												
738	Central Northallerton Redevelopment - The dividends expected from the development are not received	Commercial	Louise Branford-White	Hannah Heinemann	4x4	16	High	Monitor the Joint Venture Company Budget quarterly and support the development of phase II.	Quarterly	3x4	12	High
739	Central Northallerton Redevelopment - The site is not developed to reflect the aspirations of the Council	Commercial	Louise Branford-White	Hannah Heinemann	4x5	20	High	1. Central Northallerton Development Company Limited Board meets every 2 months. 2. Chief Executive & Deputy Leader represent the interest of the Council on this board. 3. Internal Board meeting reviews, monitors and suggests actions - meets every 6 weeks.	6 weekly monitoring, completion date summer 2020	3x4	12	High
804	Central Northallerton Redevelopment – Increase in cost of the project once works begin due to unforeseen circumstances	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Manage project to identify issues early and identify parts of project that can be adapted.	Monitoring Monthly as Project progresses	3x4	12	High
805	Central Northallerton Redevelopment – The Council doesn't achieve the best financial return.	Commercial	Mick Jewitt	Hannah Heinemann	4x3	12	High	Communicate the wider economic and community benefits.	Ongoing	4x3	12	High

## ANNEX B

## Key Corporate Project Risks 2019-20 Q2

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
806	Central Northallerton Redevelopment – Not possible to deliver the preferred scheme because of lack of retail and leisure pre-lets or viability.	Commercial	Mick Jewitt	Hannah Heinemann	3x4	12	High	Change to 'Variant' scheme.	Ongoing	3x4	12	High
807	Central Northallerton Redevelopment – The prison site is not successfully developed because developers consider the listed buildings are too great a risk.	Commercial	Mick Jewitt	Hannah Heinemann	3x4	12	High	Undertake a detailed study showing uses and alterations that are possible and acceptable to promote developer confidence.	Ongoing	3x4	12	High
808	Central Northallerton Redevelopment – Crosby Road – The Council loses income.	Commercial	Mick Jewitt	Hannah Heinemann	3x4	12	High	Consider other actions for improving income.	Ongoing	3x4	12	High
809	Central Northallerton Redevelopment – Crosby Road – A precedent could be created for similar arrangements on offers, promotions and incentives in other Council car parks.	Commercial	Mick Jewitt	Hannah Heinemann	3x4	12	High	Explain the unique reasons for the arrangements at Crosby Road. Explore proposals for other Council car parks where appropriate.	Ongoing	3x4	12	High
810	Central Northallerton Redevelopment – Crosby Road – Police parking is displaced from the Crosby Road Car Park.	Commercial	Mick Jewitt	Hannah Heinemann	3x4	12	High	Central Northallerton Development Company Limited agree arrangements with the Police. The Police make alternative provision.	Ongoing	3x4	12	High
Leeming Bar Employment Site												
750	Leeming Bar Employment Site - Community objection to the scheme	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.	2019	3X4	12	High
Car Park Improvement Scheme												
615	Car Park Improvement Scheme - Bedale Gateway Car Park - Inability to deliver Bedale Gateway Car Park project leads to long-term damage to local economy through loss of visitors and trade.	Design & Maintenance (incl Public Lighting)	Steve Lister	Clive Thornton	3X4	12	High	Economic assessment in 2017 indicated limited if any impact on economy due to relief road. Work being undertaken to determine possible partners and funding options to deliver car park. On-going monitoring of economic vibrancy of town. Review in 2019/20.	Dec-19	3X3	9	Med
816	Car Park Improvement Scheme - Failure to deliver the project in accordance with the programme July 2018 – July 2020 loss of reputation	Design & Maintenance (incl Public Lighting)	Steve Lister	Clive Thornton	3X4	12	High	Monitor scheme progress and manage robustly delays in delivery. Consultant employed to support project delivery. Internal monthly meetings to monitor progress. Project meetings on monthly basis with consultant supported by monthly written progress reports. Regular updates required to Management Team and monthly updates with Portfolio Holder. Liaise with North Yorkshire County Council to manage the Parking Order variation process.	Jul-20	2X3	6	Med

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
817	Car Park Improvement Scheme - Pay and Display income below budget due to changes in payment methods, parking periods and tariffs	Design & Maintenance (incl Public Lighting)	Steve Lister	Clive Thornton	3x4	12	High	Retain cash payments, introduce debit and credit car payments and introduce payment by smartphone application. Model income based on new payments methods.	Jul-20	2x3	6	Med

## Dalton Utilities Improvement

New Project as approved in the 2019-2023 Council Plan in September 2019. The project will be developed during 2020.

## Enhancing Health &amp; Wellbeing

## Northallerton Sports Village

699	Northallerton Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended	Leisure & Communities	Steven Lister	Lisa Wilson	4x4	16	High	<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> </ul>	2025	3x4	12	High
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## Sowerby Sports Village

741	Sowerby Sports Village – difficulties in establishing a community based operator(s) to manage the facility	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	Med
742	Sowerby Sports Village – the committed sum thresholds are not met by the developers in a timely fashion	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
745	Sowerby Sports Village (Future Phases) - Funding Plan cannot be resourced sufficiently to develop the village as intended	Leisure & Communities	Steve Lister	Lisa Wilson	4x4	16	High	<ul style="list-style-type: none"> <li>A Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Northallerton</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>	2022	2x3	6	Med
819	Sowerby Sports Village – sufficient funding is not forthcoming from Department for Education to support the construction of the access road and plan A to create an access path across the site access is delivered instead	Leisure & Communities	Steve Lister	Lisa Wilson	3x2	6	Med	<ul style="list-style-type: none"> <li>Discussions at a senior level are taking place with Department for Education.</li> <li>Costings are being produced and will be shared with Department for Education.</li> <li>Contingency plan if plan A is reverted to – taking account of Hambleton District Council access requirements to construct future phases</li> </ul>	2020	3x2	6	Med

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
Thirsk & Sowerby Leisure Centre Improvements												
820	Thirsk & Sowerby Leisure Centre Improvements - Presently at feasibility stage. Risks will be identified if a decision is made to progress the project.	Leisure & Communities	Steve Lister	Colin Winfield				New Project - Action plan to still to be established				
Community Leisure Facilities Improvement s - Bedale, Easingwold and Stokesley												
821	Community Leisure Facilities Improvements - Without a planned approach to investment and development of facilities there will be a deterioration in service performance, financial and reputational losses and a negative impact upon the health and well-being of residents/customers.	Leisure & Communities	Steve Lister	Colin Winfield/David Ashbridge	4X4	16	High	• Develop and implement a planned approach to investment and development of leisure facilities	2023	2X3	6	Med
Events and Legacy Programme												
822	Events and Legacy Programme - The Council fails to properly consider or implement events, or their legacy, for the district that are consistent with its aspirations and therefore misses out on improvement opportunities for its residents	Leisure & Communities	Steve Lister	Colin Winfield/Lisa Wilson	3X3	9	Med	• Deliver a policy to support the provision of events and legacy projects for the district • Comprehensively consider the opportunities that arise from individual events	2023	2X3	6	Med
Caring for the Environment												
Crematorium Project												
811	Crematorium Project - Increase in costs of the project once design has been developed and fully costed.	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Manage project to identify issues early and identify parts of project that can be adapted. Carry out value engineering exercise with the consultant team.	Monitoring Monthly as Project progresses	3x4	12	High
812	Crematorium Project - An alternative scheme by a competitor could be submitted for planning permission.	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Proceed with the project expeditiously. Review planning application by planning barrister to ensure the Council has submitted the best possible scheme and has given due consideration to all relevant matters.	Monitoring Monthly as Project progresses	3x4	12	High
813	Crematorium Project - The income from the service is less than expected and/or the operating costs are higher than anticipated.	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Develop KPIs, monitor and implement improvement plans. Identify issues early.	Monitoring Monthly as Project progresses	3x4	12	High



## Key Corporate Project Risks 2019-20 Q2

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
Renewable Energy												
New Project as approved in the 2019-2023 Council Plan in September 2019. The project will be developed during quarter 4 2019/20.												
Electric Charging Points												
New Project as approved in the 2019-2023 Council Plan in September 2019. The project will be developed during quarter 4 2019/20.												
Fly Tipping & Littering Improvements												
803	Fly Tipping and Littering Improvements - Enforcement/Flytipping Project fails to deliver objectives	Wass	Paul Staines	Gary Brown/Sue Seddon	2x5	10	Med	Project risk register to be management at all project meetings and appropriate action taken to ensure delivery plan achieved. Now included in service plan targets	Quarterly	1x3	3	Low
Depot Relocation Review												
805	Depot Relocation Review - Depot Layout Review - Darlington Road Depot Project to review layout and manage asbestos on site fails to mitigate risk of asbestos release and enable increase in fleet and resources in the short term. MT report 18.9.19 split the project into 2 distinct projects, 1 for current asset and 1 for suitable relocation.	Wass	Paul Staines	Gary Brown/Sue Seddon	4x5	20	High	Project risk register to be managed at all project meetings and appropriate action taken to ensure delivery plan achieved. Project reporting via Project Management Board.	Mar-19	2x5	10	Med
815	Depot relocation Review – to identify suitable land for relocation for the medium to long term requirements of WASS – as per Management Team report 18.9.19	Wass	Paul Staines	Gary Brown/Sue Seddon	2X5	10	Med	Project risk register to be managed at all project meetings and appropriate action taken to ensure delivery plan achieved. Project reporting via Project Management Board	Mar-20	2x5	10	Med
802	Depot Relocation Review- Digital depot project fails to meet objectives	Wass	Paul Staines	Gary Brown/Sue Seddon	4x5	20	High	Project risk register to be managed at all project meetings and appropriate action taken to ensure delivery plan achieved.	Dec-20	3X5	15	High

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
<b>Providing a Special Place to Live</b>												
Local Plan												
115	Local Plan - Market conditions or ineffective spatial planning leads to a reduction in new homes completions and results in the Council not meeting its new homes target and consequently reduction in New Homes Bonus & Council Tax receipts.	Planning	Helen Kemp	Sam Swinbank	3x3	9	Med	Progress a new Local Plan for the period up to 2035 that reflects current government guidance and provides a good range of deliverable housing sites. Also work closely with developers to bring sites forward. Regular performance monitoring and good project management.	Reviewed quarterly	3x1	3	Low
116	Local Plan - Lack of resources or failure in the process leads to Local Plan being found unsound at Examination resulting in a need to repeat the process, leading to speculative planning applications and appeals.	Planning	Helen Kemp	Sam Swinbank	1x4	4	Low	Project planning to ensure new Local Plan is brought forward in a timely manner and is based on robust evidence; base on Sustainability, Appraisal, Community & Stakeholder engagement and that legal requirements are followed. Review Local Development Scheme annually. Local Planning Enforcement consultants checking document prior to Publication. Investment in planning policy staff resource & software.	Review monthly	1x4	4	Low
73	Local Plan - The Plan is found to be unsound at the Examination stage	Planning	Helen Kemp	Sam Swinbank	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
763	Local Plan - Ineffective spatial planning results in the Council being found to be in failure and the government intervenes.	Planning	Helen Kemp	Sam Swinbank	1x5	5	Med	Up to date Local Development scheme to be published. Members & officer involvement in Duty to Co-operate. Robust evidence base for strategic approach in new Local Plan	On-going	1x4	4	Low
764	Local Plan - is overly ambitious & cannot be justified at Examination	Planning	Helen Kemp	Sam Swinbank	4x4	16	High	Robust evidence base has been produced and is being consistently updated. Duty to Co-operate consultation with neighbouring Local Authorities and key stakeholders. Production of Statement of Common Ground. Strategy approach aligns with the Council's Economic Strategy, the Strategic Economic Partnership, etc.	Review in line with LDS	2x4	8	Med
<b>Best in Class Planning service</b>												
New Project as approved in the 2019-2023 Council Plan in September 2019. The project will be developed during quarter 4 2019/20.												

## Key Corporate Project Risks 2019-20 Q2

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK			
					Likelihood : Impact	Score	Risk Level				Likelihood : Impact	Score	Risk Level
Lambert Hospital Community Development													
818	Lambert Hospital Community Development - The project to separate the utilities shared by the Lambert Hospital and the linked Health Centre is not completed prior to the transfer of the hospital to Herriot Hospice and subsequent redevelopment	Design & Maintenance (incl Public Lighting)	Steve Lister	Clive Thornton	2X4	8	Med	Liaise with nhs properties on regular basis, attend nhs properties project meetings, gain assurance from nhs properties.	Mar-20	2X3	6	Med	
Vibrant Market Towns													
New Project as approved in the 2019-2023 Council Plan in September 2019. The project will be developed during 2020.													

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
Driving Econmic Vitality												
410	New Homes Bonus grant is pivotal to the resilience of the financial strategy. Failure to increase the tax base year on year or failure of the Government to provide the grant would impinge on this resilience.	Corporate Finance	Louise Branford-White	Louise Branford-White	3x4	12	High	The council completes a through review on an annual basis 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. The 10 year financial strategy approved by Council in February 2019 recognises that the government may decrease this grant in future years and therefore the amount of funding profiled has been reduced.	Ongoing	3x4	12	High
411	Beyond 2019/20 there is a risk of further significant grant reductions should government priorities shift from increased housing provision to enhancing functions not undertaken by the Council.	Corporate Finance	Louise Branford-White	Louise Branford-White	3x4	12	High	To support the future substanability of the 10 year financial strategy the requirement to generate income is a key objective of the Council. Projects to generate income are being developed. The £30M commercial property portfolio is estimated to generate £400K in the first year of operation 2020/21.	Ongoing	3x4	12	High
412	A continued low Bank Base Rate would impact on the Council's ability to generate investment income from balances.	Corporate Finance	Louise Branford-White	Saskia Calton	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.	Corporate Finance	Louise Branford-White	Louise Branford-White	3x4	12	High	An on-going programme of efficient service delivery, saving reviews and a focus on income generation that ensures best value is being achieved and income is maximised.	Ongoing	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.	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	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Monitor at the Capital Monitoring Group and agree appropriate asset management strategy.		3x4	12	High
794	Commercial Property Portfolio - Management of costs increasing or higher than expected	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		3x4	12	High
795	Commercial Property Portfolio - Rental income reducing due to business failures or delay in reletting units	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.		3x4	12	High
796	Commercial Property Portfolio - Legislation introduced that prohibits Local Authorities to borrow for commercial profit	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Continue to review and monitor current regulations and legislation.		3x4	12	High
797	Commercial Property Portfolio - There is insufficient knowledge within the Council to support this commercial investment	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Regular monitoring reports from Property Investment Advisor should minimise this risk.		3x4	12	High

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
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## Enhancing Health & Wellbeing

542	Failure to have procedures and available resources to carry out proactive and reactive inspections of potentially contaminated land resulting in: • Significant risk of harm to the environment and public health if any contamination is not remediated. • A potential significant financial burden on the Council. • Significant reputational damage.	Environmental Health	Paul Staines	Vikki Flowers	4x5	20	High	<ul style="list-style-type: none"> <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 Environmental Health budget to carry out investigation and potential remediation of contaminated sites.</li> </ul>	30/03/2020 Review of Contaminated Land Strategy.	3x4	12	High
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## Providing a Special Place to Live

426	Failure to properly manage joint arrangements with North Yorkshire County Council Children & Young People's Service leads to safeguarding problems with homeless children, resulting in legal challenge and personal harm	Strategic Housing	Helen Kemp	Nicole patterson	3x4	12	High	Working closely with other Local Authorities and North Yorkshire County Council to address safeguarding issues and mitigate risk. Need to ensure that despite cuts in funding, through shaping of new delivery models, there continues to be sufficient safeguarding measures in place going forward. New protocol has been implemented from 1st April 2018	On-going Quarterly reviews	3x4	12	High
634	Community Infrastructure Levy income below expectations, leading to a lack of funding for infrastructure improvements and therefore further delivery of housing.	Planning	Helen Kemp	Ann Rawlinson	4x3	12	High	Procedures to be developed to pursue non payment through the Community Infrastructure Levy regulations. Income low in part due to the levels of exemptions	Quarterly review	4x3	12	High

## Caring for the Environment

Risks for this priority were considered to be below the Net Risk Threshold of 12 or Above

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## **HAMBLETON DISTRICT COUNCIL**

**Report To:** Scrutiny Committee  
21 November 2019

**From:** Chairman of Scrutiny Committee

**Subject:** **POLICY REVIEW – RECYLING**

All Wards

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### **1.0 SUMMARY:**

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

### **2.0 BACKGROUND:**

- 2.1 The Committee has previously agreed to undertake this Review and identified information and issues that it would like to consider. The Project Plan for the review is attached as Annex A.
- 2.2 The Terms of Reference of the review are as follows:

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

- 3.1 The following Hambleton District Council officer will be in attendance at the meeting:

- Paul Staines, Director of Environment
- Jeff Green, UPM

### **4.0 RECOMMENDATION:**

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

COUNCILLOR DAVID HUGILL  
CHAIRMAN

**Background papers:** None

**Author ref:** LAH

**Contact:** Louise Hancock  
Democratic Services Officer  
Direct Line No: (01609) 767015

**SCRUTINY COMMITTEE**  
**POLICY REVIEW – RECYCLING**

**TERMS OF REFERENCE:**

To review the existing policies regarding household recycling; investigate how recyclables are currently being collected and processed and to explore whether more can be done to improve recycling rates across the District.

**SCOPE**

- To review existing recycling policies.
- To assess current recycling arrangements and gain an understanding of how household recycling services are delivered.
- To evaluate the Council's current performance.
- To review how the Council publicises its recycling service and whether improvements could be made to improve awareness amongst residents.
- To consider best practice in other Local Authorities.
- To consider the potential impact of the DEFRA Waste and Resources Strategy

**OBJECTIVES**

- To investigate whether the current recycling policies remain fit for purpose.
- To explore whether current recycling arrangements are effective.
- To identify whether there are any areas of improvement to increase household recycling numbers.
- To ascertain whether current methods of publicity are effective or could be improved.
- To consider best practice in other Local Authorities.

**WITNESSES**

- Paul Staines, Director of Environment
- Gary Brown, Operations Manager
- Tracey Flint, Recycling Officers
- Representative from UPM - Kymmene
- Representative from Yorwaste
- Representative from appropriate Local Authority



<p>DOCUMENTS/EVIDENCE</p> <ul style="list-style-type: none"> <li>• Waste and Recycling Policies</li> <li>• Statistics</li> <li>• Benchmarking</li> <li>• Site Visits to local Recycling Stations if required</li> </ul>
<p>OTHER METHODS/CONSULTATION/RESEARCH</p> <p>Task and Finish Groups.</p>
<p>OFFICER SUPPORT</p> <p>Louise Hancock, Democratic Services Officer Gary Nelson, Director of Law and Governance (Monitoring Officer)</p>
<p>TIMESCALE</p> <p>Commencing September 2019 – Concluding February 2020 (Report to March 2020 Cabinet)</p>

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