

AGENDA

Committee Administrator: Democratic Services Officer (01609 767015)

Wednesday, 5 February 2020

Dear Councillor

NOTICE OF MEETING

Meeting **SCRUTINY COMMITTEE**
Date **Thursday, 13 February 2020**
Time **9.30 am**
Venue **Main Committee Room, Civic Centre, Stone Cross, Rotary Way, Northallerton, DL6 2UU**

Yours sincerely

J. Ives.

Dr Justin Ives
Chief Executive

To:	Councillors	Councillors
	D Hugill (Chairman)	J Noone
	P Atkin	G Ramsden
	P Bardon	M G Taylor
	C A Dickinson (Vice-Chairman)	A Wake
	K G Hardisty	D Watkins
	C A Les	

Other Members of the Council for information

AGENDA

Page No

1. MINUTES
To confirm the minutes of the meeting held on 16 January 2020 (SC.22 - SC.23), previously circulated.
2. APOLOGIES FOR ABSENCE
3. COUNCIL PERFORMANCE 2019/20 (QUARTER 3) 1 - 14
Report of the Director of Finance and Commercial (s151 Officer)
4. REVIEW OF RISK MANAGEMENT 2019/20 Q3 15 - 30
Report of the Director of Finance and Commercial (s151 Officer)
5. 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 February 2020

From: Director of Finance and Commercial (s151 Officer)

Subject: **COUNCIL PERFORMANCE 19/20 (QUARTER 3)**

All Wards

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 3 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 3.
- 2.3 The KPI's not meeting their target or performing below tolerance at Quarter 3 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 Q3 – 85%	Actual at Q3 – 79% (79 out of 100)
YTD Target at Q3 – 85%	YTD Actual at Q3 – 79.1% (296 out of 374)

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

The council approved 82% of applications for all minor decisions. Negotiating on improvements to schemes extends the amount of time taken for determination.

Additionally, the employment of two agency staff has enabled 'old' schemes, to be progressed to decision. This has also resulted in older, undetermined applications, which have been pending awaiting further information from the applicant, coming through. These have been reported in this and the last quarter's performance statistics, lowering the overall level of performance reported at Quarter 3.

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

Target Q3– 80% Actual Q3 – 0% (0 out of 0)

YTD Target at Q3 – 80% YTD Actual at Q3 – 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 and Q3 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 Q3 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

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Jacky Byrne, Performance and Improvement Officer
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Council Performance Quarter 3

1 October 2019 – 31 December 2019

This report provides information on performance towards the Council Business Plan Priorities for the third 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

Purpose: <ul style="list-style-type: none"> - 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 - Forging links with local businesses to support their ambitions 	Outcome: <ul style="list-style-type: none"> - New business & commercial openings made available - Increased grant availability and opportunities for young people - Businesses stay, grow and relocate to the area - Support developers to achieve planning permission for new homes, businesses, industrial developments & infrastructure - Community Infrastructure Levy is implemented to assist economic development - Land is allocated to meet employment needs until 2035 through the new Local Plan 			
Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Facilitate 28 young people into local small businesses by April 2020 through apprenticeships and the graduate scheme.	28	7 Apprentices 0 Graduates	24 Apprentices 0 Graduates	This target is profiled to reflect the academic year. Profile Q1 = 2, Q2 = 10, Q3 = 8 Q4 = 8. In Q3, 7 applications received for Apprentice funding.
Support £1m of new business investment in Hambleton during 2019/20.	£1m	£528,219	£1,029,906	In Q3, £528,219 of funding was secured with a further £667,985 match funded from business investment. Total project value £1,196,204. This target is to be achieved by the end of the financial year.
Increase footfall across Hambleton's Market Towns by 5% during 2019/20.	5%	0	7.9% (4,340,392)	Footfall data is no longer available monitoring finished in October 2019. The use of new technology which provides more robust data is being explored.

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Achieve a level of Business Rate collection of 98% during 2019/20.	98%	88.57%	88.57%	<p>Performance is above target.</p> <p>The collection rate at Q3 has increased by 3.02% against the collection rate at Q2 for 2018-9 which was at 85.55%.</p> <p>In monetary value the Council has collected £1,141,000 more than at Q3 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%	92.12%	92.12%	<p>Performance is above target.</p> <p>The collection rate at Q3 has increased by 5.65% against the collection rate at Q3 for 2018/19 which was 86.47%.</p> <p>In monetary value the Council has collected £7,418,000 more than at Q3 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%	100% (5 out of 5)	96% (24 out of 25)	<p>Focussed effort by staff to keep applicants and agents informed of progress has enabled agreement to be reached on all the proposals during Q1 and Q3 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%	79% (79 out of 100)	79.1% (296 out of 374)	<p>The volume of work, staff turnover and staff absence has had an impact upon performance.</p> <p>The council approves 82% of applications for all minor decisions. Negotiating on improvements to schemes extends the amount of time taken for determination.</p> <p>Additionally, the employment of two agency staff has enabled 'old' schemes, to be progressed to decision. This has also resulted in older, undetermined applications, which have been pending awaiting further information from the applicant, coming through. These have been reported in this and the last quarter's performance statistics, lowering the overall level of performance reported at quarter 3.</p>

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 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)	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. In Q2 and Q3 there were no appeal decisions relating to major development.

Other activity and items of interest for this Priority during Quarter 3		
Business & Economy	Business Support	<ul style="list-style-type: none"> Federation of Small Business – four new members joined this quarter – followed up with Federation of Small Businesses to see if there are any issues. Meeting scheduled for January 2020.
	Vibrant Market Town (VMT)	<ul style="list-style-type: none"> A second Google training session was held in October 2019 which focused on 'Writing for Social Media', 'Getting your Business seen on Google' and 'Know your Business Data'. 25 Guests attended and the feedback received was overwhelmingly positive. The Northern Dales Farmers Market (NDFM) has now held 3 successful farmer's markets in Thirsk. They have agreed to return on a monthly basis in 2020. Following the successful 'Northallerton's Hidden Heritage' event on Sunday 8th September 2019, interested community parties have formed a Heritage Action Group to focus on taking the project forward. The group have also heard advice from experts and operators from heritage/museum fields, and will use this to inform their progress. The VMT team met with representatives from Stockton Borough Council's Town Centre Regeneration team to discuss the Council's pro-active approach to High Street Regeneration and its use of empty retail premises. Of particular interest is the use of a large unoccupied premise as an 'incubator' for new businesses which has encouraged new business start-ups in the town. The VMT team contributed £193 to the scheme to install a tree pit for Northallerton's Christmas tree working with other agencies. The contract with the Local Data Company has expired as of October 2019. Due to technological issues they are unable to provide any further service. The VMT team are currently investigating suitable alternatives. Easingwold Town Council is to commission a detailed car parking survey in the Market Place and at other car parks in the town and a contribution of £7.5k to part fund the survey has been made from the VMT budget for Easingwold. It is anticipated that the survey will be undertaken by WSP in April 2020 and it has been made clear to the Town Council that following the completion of the survey further capital funding from the District Council will not be available to undertake any recommendations made as to the future of car parking provision in the Market Place. The VMT team met with members of the Wold Class Business Network to discuss the issues facing local businesses in the Market Place and along Long Street. The meeting was well-attended and feedback on social media suggests that businesses welcome the support of, and engagement with, the VMT Team. An Action Plan has been drafted to identify and resolve the key issues and this plan will be shared with Easingwold Town Council to help inform its 'vision' for the Market Place. The VMT team are supporting the publication and distribution of town trails created by students at Stokesley School.

Other activity and items of interest for this Priority during Quarter 3		
Business & Economy	Local Full Fibre Network	<ul style="list-style-type: none"> Provided further justification for the depot connection by providing list of businesses around the depot site.
	Bedale Bridge & Cycle Way	<ul style="list-style-type: none"> Attended Wensleydale Railway Board Meeting with WSP Consultants, to obtain agreement in principle for Bedale Cycleway to run adjacent to the railway line on Wensleydale Railway land.
	UCI - BID survey to businesses in Northallerton	<ul style="list-style-type: none"> The businesses commented: 47% said it was a very positive experience for Northallerton and 13% a fairly positive experience, 55% felt it had lifted the profile of Northallerton, 60% said the organisation was very good and 65% would support staging a future high profile sporting event.
	Skills Village	<ul style="list-style-type: none"> Meeting with Northern Regeneration (NR) held on the 11th December, establishing commitment to the project, NR very committed and want to see the project moving forward. Steering group to be established with Hambleton District Council, stakeholders & key partners – January 2020. Report to go to cabinet February 2020. Planning application to be submitted. Launch event to be arranged. Contact local schools to establish need and skills gaps for school leavers. Once the steering group is established to organise a visit to the NR site in Scarborough.
	C4Di – Agri-tech	<ul style="list-style-type: none"> Project launch 12th December around Mental Health in the farming community, launch was successful and positive future contacts made. Steering group established, positive working relationships developed – to meet again January/February 2020. Continue to work alongside C4Di promoting and developing Agri-tech and the Treadmills site.

PRIORITY – Enhancing Health & Wellbeing

Purpose: <ul style="list-style-type: none"> Improve the health and wellbeing of people by providing and supporting community inclusive facilities, activities, events and interventions Protect consumers from health risks relating to hazardous food, drink and water supplies. Protect residents from hazardous conditions in privately rented housing. 	Outcome: <ul style="list-style-type: none"> Increased physical activity participation rates & therefore improved health Reduction in health threatening conditions Improved health & wellbeing through community events, initiatives, programmes & activities Increased child safety through learning to swim Reduce health risks due to food safety improvements Reduced health risk due to non-compliant private water supplies 			
Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Achieve health & fitness membership base of 3,192 in 2019/20.	3,192	3683	3,583	The target has been achieved in Q3. This is a year-end target and fluctuation is anticipated throughout the year. All centres are above target.
Achieve 'Learn2 Swim' membership base of 2,645 in 2019/20.	2,645	2586	2628	This is a year-end target and fluctuation is anticipated throughout the year.

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Successfully allocate 100% (£236,600) of community grants in 2019/20.	100% (£236,600)	100% (£236,600)	100% (£236,600)	The Community Grants Budget for 2019/20 is made up from the following grant funds: Making a difference Grants of £125,000 Hambleton Help Grants of £48,700 Partnership Grants £62,900. 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.
Complete 100% (85/85) of high/medium risk food premises inspections in 2019/20.	100% (85/85)	28% (24)	81% (69)	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)	45% (10)	100% (22)	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 3		
Environmental Health	Environmental Protection	<ul style="list-style-type: none"> Discussions have taken place between officers in the Residential Team and the Department for the Environment, Food and Rural Affairs regarding the batch burning of straw as there has been an increase in planning applications for biomass burners as government funding is currently available for this type of installation. The Residential Team is consulted on these applications and provides appropriate advice regarding the correct chimney height for burners which is based on the type of fuel (for example straw) that would be used and its burn rate and the net rated thermal input of the appliance being used. These standards are from the Clean Air Act 1993 and the Chimney Heights memorandum. The Department for the Environment, Food and Rural Affairs has confirmed that the advice being provided by the Residential Team is correct. Officers in the Residential Team had to serve a notice under the Local Government Miscellaneous Provisions Act to secure a derelict site that was open for access after an informal approach failed. The required works have been carried out and the site is now secured.
	Housing Assistance	<ul style="list-style-type: none"> A meeting has taken place with Homes & Loans, Sheffield and the Residential Team Leader regarding how the £25,000 originally intended for Energy Repayment Loans can be used for Home Appreciation Loans.
	Noise and other Nuisance	<ul style="list-style-type: none"> A meeting has taken place with officers of the Residential Team, Northallerton Rugby Club and Hurworth Hunt Committee to discuss noise control measures for the January 2020 Hurworth Hunt Ball. Officers from the Residential Team have carried out several out of hours visits to investigate noise complaints relating to licensed premises in Bedale and Stokesley, and a bio mass boiler East Cowton, and light nuisance in Northallerton.
	Caravan Sites	<ul style="list-style-type: none"> A survey of the district's 76 licensed caravan sites is being carried out to identify if site owners/managers have training needs to increase compliance with site conditions. The aim is to collate the responses and provide training based on the needs of the owners/managers in spring 2020.

PRIORITY – Caring for the Environment

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Purpose: <ul style="list-style-type: none"> - Maintain high quality and efficient waste and recycling collections - Improve customer satisfaction - Reduce CO2 and improve energy efficiency 		Outcome: <ul style="list-style-type: none"> - Decreased landfill waste - Improve service to customers - Environmental sustainability - Clean litter environment 		
Maintain a recycling rate of 47%.	47%	46.41% (Est)	52.13% (Est)	Above target. Statistics are monitored quarterly in arrears. The lower figure for Q3 reflects seasonal reductions.
Implement fly tipping and littering enforcement policy including established monitoring of the policy.	100% Complete	98% Complete	98% 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	12	52	Target achieved for Q2. In Q1, litter collected was estimated to be 4 tonnes, and fly tipping was estimated to be 3 tonnes. Q2, litter est 1 tonne (no fly tipping collected by community groups). Q3, litter est 2 tonnes (no fly tipping).

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Improve efficiency of lighting by reducing energy consumption by 200,000 Kwh in 2019/20.	200,000 Kwh	90,903 Kwh	212,361 Kwh	<p>Have met the annual target at Q3 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) Baseline EAC 01/04/2019 = 773,890 Kwh (assessed 01/02/2019) EAC assessed 01/05/2019 = 732,277 Kwh saving = 41,613Kwh 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>EAC assessed 01/10/2019 = 561,529 Kwh saving = 90,903Kwh</p> <p>Therefore the reduction in annual public lighting energy consumption at the year to date is 212,361 Kwh. This is the difference between the baseline consumption at 01/04/2019 and the estimated annual.</p>

Other activity and items of interest for this Priority during Quarter 3

Waste and Street Scene	Street Scene activities	<ul style="list-style-type: none"> A Litter pick of highway verges by garden waste crews during suspended collections 9/12 to 20/12/19 has produced approximately 700 sacks / estimated 4+ tonnes and also 1 tonne of fly tipped material. 101 new dog / litter bins have been sited where required or replaced as necessary.
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PRIORITY – Providing a Special Place to Live

Purpose: <ul style="list-style-type: none"> - Provide an adequate amount of housing to meet the housing needs of all - Provide support to residents to prevent homelessness - Support people to lead independent lives - Shape places across the district through the Local Plan 	Outcome: <ul style="list-style-type: none"> - Housing sites are made available for market and affordable housing - Achieve housing for all - Provide financial support for residents to live in the district independently - Provide support to residents to prevent homelessness 			
Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Maintain, each year, a minimum 5-year supply of deliverable housing sites.	5 yrs	9.1 yrs	9.2 yrs	Hambleton District Council's five year supply is 9.1 yrs. i.e. over the next five years to 2024 it is expected that 3,013 dwellings will be built against a requirement of 331 units per year (that is 315 plus 5% buffer) so $3,013 / 331 = 9.1$ 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 submission for examination by the Planning Inspectorate target is March 2020.
Deliver an additional 315 new homes by April 2020.	315	176	472	Target achieved.
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 £233,293 (40.7%) Amount Spent £317,679 (55.4%)	Amount Committed £233,293 (40.7%) Amount Spent £317,679 (55.4%)	2019/20 capital budget is £675,040 85% spend is £573,784 Q3 - Amount committed for expenditure is £233,293. Amount Spent is £317,679 Total £550,972. The target at Q3 has been achieved.

Indicator	Target / Benchmark	Quarter 3	YTD	Q3 Actions / Comment
Process new housing benefit claims within 20 days in line with North Yorkshire authorities.	20 days	17.73 days	16.22 days	<p>Year to date, 224 claims processed, taking 3,634 days. Average processing time per claim 16.22 days.</p> <p>Housing Benefit is gradually being replaced by Universal Credit. However, Universal Credit does not deal with the more complicated cases which still fall under Housing Benefit. The rise in the number of days taken to process claims in Q3 was a result of a small number of complicated claims taking much longer to process. This affects the averages of the number of days taken to process the claims.</p> <p>Speed of processing can also be affected by local changes to staffing and to the section. Care should therefore be taken when making comparisons with other Local Authorities.</p>
Process new council tax claims within 20 days in line with North Yorkshire authorities.	20 days	11.80 days	13.03 days	<p>Year to date, 1370 claims processed, taking 17,853 days. Average processing time per claim 13.03 days.</p> <p>41 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	3 days	2.59 days	<p>Year to date, 5,101 changes in circumstances processed, taking 13,227 days. Average processing time per claim 2.59 days.</p> <p>Housing Benefit is gradually being replaced by Universal Credit. However, Universal Credit does not deal with the more complicated cases which still fall under Housing Benefit. This affects the number of days taken to process changes in circumstance.</p> <p>Speed of processing can also be affected by local changes to staffing and to the section. Care should therefore be taken when making comparisons with other Local Authorities.</p>
Process council tax changes in circumstance within 7 days in line with North Yorkshire authorities.	7 days	1.82 days	2.21 days	<p>Year to date, 10,066 claims processed, taking 22,296 days. Average processing time per claim is 2.21 days.</p> <p>1584 fewer 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	22.12	11.65				
Harrogate	19.52	21.35	25.34	22.98	26.29	23.79	-	-	-	-				
HAMBLETON	28.43	23.62	25.61	20.76	15.03	15.34	15.00	17.00	11.95	14.07				
Scarborough	16.66	18.27	17.60 (Q3 only)	19.90	17.47	21.83	13.64	14.37	10.78	15.05				
Selby	21.14	19.32	22.54	21.86	22.82	21.04	24.89	14.33	25.20	17.19				
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	18.65	17.82				

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	3.44	5.88				
Harrogate	6.56	5.18	7.55	6.22	6.20	4.32	-	-	-	-				
HAMBLETON	5.45	5.29	6.24	5.78	2.99	2.70	3.00	3.00	2.36	2.13				
Scarborough	4.53	4.39	5.60(Q3 only)	4.68	6.42	5.00	7.91	4.17	6.47	4.82				
Selby	4.07	4.23	3.99	4.55	5.17	3.66	4.05	3.04	3.92	4.03				
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	1.84	3.59				

Other activity and items of interest for this Priority during Quarter 3		
Customer Services & Communications	Customer Services	<ul style="list-style-type: none"> Customer demands remain fairly consistent across the Civic Centre and area offices. An expected spike in customer demand during December is experienced due to garden waste subscriptions opening and the alterations to Christmas schedules for all household collection. Year 3 garden waste collections closed at £783,895 at 102.2% of the target income expected. An increasing number of customers are using electronic channels, including self-serve accounts via the Firmstep Customer Relationship Management (CRM) system, Govtech Web Capture council tax forms and emailing enquiries. We continue to monitor demand to ensure the operation of the most efficient ways of working and the best allocation of resources.
	Technical Communications	<ul style="list-style-type: none"> The website, microsites, Junction intranet and social media accounts require regular update. Considerable support has been provided to the Planning section at www.hambleton.gov.uk and content review of the local plan information publically available. In addition, plans for the impact of new accessibility legislation on the current content management system and this requires a review of existing processes and upgrade prior to September 2020.
	Communications and Graphics	<ul style="list-style-type: none"> Intensive support provided to the backlog of corporate work due to the Union Cycliste Internationale (UCI) Road World Championships in September 2019, in particular for Leisure including Halloween and Christmas events, budget consultation, landlord forum, policy and procedure updates and all other corporate requirements.
ICT	ICT Support	<ul style="list-style-type: none"> Election support in December by the technical team.
Legal Services	Licensing / Legal	<ul style="list-style-type: none"> Successful prosecution of an unlicensed taxi driver at Harrogate Magistrates' Court with a contribution to the Council's costs also awarded.
	Electoral	<ul style="list-style-type: none"> Snap Parliamentary Election held on 12 December 2019. Under the minimum notice the Electoral Services Team had to arrange for 113 polling stations to be staffed, deal with queries and application to register to vote and for absent voting methods, staffing the overnight count and project managing the election day with the risk of inclement weather.
Strategic Housing	Homelessness Prevention Scheme service delivery and TUPE	<ul style="list-style-type: none"> Contracts in place and signed off by staff members and union will start on 1st February 2020. Meetings arranged by AM for county wide representatives to monitor service in all areas and share good practice going forward. First meeting to be held on 29th January 2020.

HAMBLETON DISTRICT COUNCIL

Report to: Scrutiny Committee
13 February 2020

From: Director of Finance and Commercial (s151 Officer)

Subject: **REVIEW OF RISK MANAGEMENT 2019/20 Q3**

All Wards

1.0 PURPOSE AND BACKGROUND:

- 1.1 The principles of the CIPFA Framework Delivering Good Governance in Local Government require Hambleton District Council to be responsible for putting in place proper arrangements for the governance of its affairs and facilitating the effective exercise of its functions, which includes arrangements for the management of risk.
- 1.2 The Council has a robust risk management process in place which includes a comprehensive risk register. The register captures all risks identified as presenting a threat or opportunity which may impact the Council's service delivery. The Council's Risk Management Framework provides information and guidance on the authority's risk appetite and risk management process. The updated Risk Management Framework was approved by Audit, Governance and Standards Committee on 22 October 2019 and by Council on 17 December 2019.
- 1.3 All risks are reviewed by the relevant service manager on a quarterly basis to reflect upon their appropriateness and the adequacy of a mitigating action plan.
- 1.4 The Strategic Risk Management Group 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 annual 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 Q3, four new corporate risks were added to the Council's risk register relating to cyber security, climate change, local government re-organisation and staff capacity.
- 2.2 In Q3, 70 risks were changed. 36 new risks were identified. No risks were closed. The authority currently holds a total of 443 active risks across all service areas.

2.3 Extracts of the current risk register displaying active Corporate Risks at Q3 are attached at Annex A, Key Corporate Project Risks are attached at Annex B and Service Risks with a Net Risk Threshold of 12 or above are attached at Annex C.

3.0 RISK MANAGEMENT:

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

4.0 RECOMMENDATIONS:

4.1 It is recommended that the Committee note:

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

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

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

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Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
157	Health & Safety Lone Working Practices are not as effective as they should be leading to potential physical risk and/or sub-standard service, performance, financial and reputational losses and legal challenge.	All Services	Paul Staines	All Service Managers	2x5	10	Med	<ul style="list-style-type: none"> HDC implements suitable arrangements where all services work to the Council's Health and Safety Policy and arrangements for Lone working. Service action plans in place including: <ul style="list-style-type: none"> - Specific service risk assessment & practice in place - All relevant staff to receive Health & Safety training - A system of monitoring and review is being implemented where Health & Safety Group monitor risk assessment management and associated Key Performance Indicator's. Review of lone working practices to be carried out by risk manager. Audit 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. 	On-going	1x3	3	Low
254	Health & Safety Workplace Risk Assessment - Failure to identify, implement and review the annual Workplace Health & Safety Risk Assessment programme leads to potential physical risk and/or sub-standard service, performance, financial, environmental and reputational losses and legal challenge.	All Services	Paul Staines	All Service Managers	5x5	25	High	Each service to implement their service specific action plan to undertake service risk assessments and workplace inspections annually. Services to work to the HDC Health & Safety Policy and arrangements for risk assessments. Professional support is bought in from NYCC Health and Safety Team under a three yearly service level agreement.	Ongoing	1x5	5	Low
42	Failure to develop and maintain an effective Business Continuity Plan leads to lack of resilience or inability to access HDC services resulting in loss of service or failure of service delivery.	All Services	Paul Staines	All Service Managers	1x5	5	Med	Business Continuity Policy, procedure and plans are in place across the organisation and all service managers are engaged. ICT liaise with Business Areas to provide resilience in line with the business needs. BC Plans are reviewed annually as part of service planning. HDC buy in specialist advice from NYCC Resilience and Emergencies Team.	Continuously monitored and reviewed. Desktop testing taking place Q3 and 4	1x3	3	Low
512	Failure to follow General Data Protection Regulation Requirements and failure to follow the Council's Information Policy leads to a violation of Data Protection Act which could lead to a fine by the Information Commissioner's Office and creates a risk of legal challenge and reputational damage where regulations are not complied with.	All Services	Gary Nelson	Laura Venn & All Services	2x3	6	Med	Retention and destruction of documentation in accordance with the Information Asset Register. Annual review of service area records management in line with Document Retention Policy and all staff to receive Data Protection training/ General Data Protection Regulation updates.	On going	2x2	4	Low
522	Failure of the Council's website or failure to maintain current/correct information removes the principal communication and compliance tool, blocks transparency and denies residents' payment facilities and emergency information resource, leading to reputational, legal and financial loss.	All Services	Helen Kemp	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		
					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
602	Failure to comply with the Public Sector Equality Duty will put the organisation at risk of legal challenge and reputational damage	All Services	Gary Nelson	Lynne Halls & All Services	3x4	12	High	Service Managers with advice and guidance from Human Resources will ensure that the General and Specific requirements of the Public Sector Equality Duty are met. All Managers and Staff who follow the requirements of the Equality and Diversity Policy and Procedure and take part in any relevant training as listed in Appendix B of the Learning and Development Policy.	Ongoing	1X3	3	Low
709	Failure to set a balanced Annual Budget which is reflected in the 10 year Financial Strategy.	All Services	Louise Branford-White	Saskia Calton	1x4	4	Low	Complete and challenge the Budget setting process, generate income, create efficiency savings, consider reduction to the current budget, monitor and manage the position. Report to Cabinet and Council on an annual basis prior to the new financial year and monitor on a quarterly basis.	Annually - February and Quarterly monitoring	1x3	3	Low
798	Staff attendance - Failure to effectively manage staff attendance at work leads to potential physical risk, reduced staffing levels and/or sub-standard service with regards to possible financial, environmental and reputational losses and legal challenge.	All Services	Gary Nelson	Lynne Halls & All Services	2x3	6	Med	Service Managers with advice and guidance from Human Resources will manage the attendance of staff so contractual requirements are met. This will involve invoking policies such as Sickness Absence Management, Leave, Flexi Time, Capability and Recruitment and Selection.	Ongoing	1X3	3	Low
807	Training and Development - Failure to plan, resource and implement and ensure attendance at mandatory corporate training and development (in line with Appendix B of the Learning and Development Policy and Procedure) for employees leads to potential physical risk and/or sub-standard service with regards to possible financial, environmental and reputational losses and legal challenge	All Services	Gary Nelson	Lynne Halls & All Services	1X3	3	Low	Human Resources will liaise with Service Managers to ensure that any mandatory training is scheduled onto the Learning and Development Calendar. Human Resources will also work with Service Managers to ensure staff attend corporate mandatory learning and development activities. Human Resources will also work with Service Managers to resolve issues of non-attendance of departmental mandatory learning and development.	Ongoing	1X3	3	Low
814	Failure to prepare for a No Deal Brexit leads to a disruption to services and an inability to service local needs - <ul style="list-style-type: none"> Fuel shortages affect refuse collection Fuel shortages affect individuals ability to get to work Extra demand for council services due to hardship Internal capacity to deal with changes in regulatory services Failure to manage communications with businesses/community/voluntary leads to reputational damage 	All Services	Paul Staines	Paul Staines	3X4	12	High	<ul style="list-style-type: none"> Engage with Local Resilience Forum partners at a strategic and tactical level using established emergency planning protocols Report by exception to Yorkshire and Humber lead Brexit Officers through Leeds City Council Use Local Government Association toolkit for communication Internal task and finish group to prepare for all related issues. Communicate with service managers forum to ensure business continuity plans reflect the risk. Corporate Brexit Plan approved by Management Team 16/10/2019.	10/01/2020. Parliament has voted in favour of the PM's deal and a measured exit strategy is being planned.	1X3	3	Low

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
823	Failure to take action on climate change leads to adverse impacts on the local and global environment and damages the council's reputation.	All Services	Paul Staines	All Service Managers	3x5	15	High	A schedule has been drawn up documenting all services' carbon saving measures and plans to reduce carbon in the future. Working with other authorities regionally and sub regionally on positive actions, also supporting communities to take positive actions. Internal working group has been established and external consultancy is being sought to provide baselining and help with an achievable strategy.	Continuously monitored and reviewed	2x4	8	Med
824	Cyber Security - Cyber-attack leads to loss of key ICT infrastructure resulting in reduced ability to provide ICT Services, occurring financial loss and reputational damage.	All Services	Louise Branford-White	Jenny Pan	3x5	15	High	<ul style="list-style-type: none"> • Compulsory annual Cyber Security training for all users • Procedure to verify each user and issue minimum required access rights • Manage privileged access • Annual IT Health Check and remedial work PSN (Public Services Network) compliant • Strong password policies are in place • Regularly test Disaster Recovery and Business Continuity Plan • Cyber Security Incident Management Plan in place • Annual review Information Security Policy • Participate in WARP (Warning, Advice and Reporting Point) to share knowledge and information with other Councils • Cyber liability insurance is in place. 	Ongoing	2x5	10	Med

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood Impact	Score	Risk Level			Likelihood Impact	Score	Risk Level
Driving Economic Vitality												
Northallerton Bridge and Road Development												
629	Northallerton Bridge and Road Development - North Northallerton project slippage: unutilised grant funding is lost if it cannot be used in line with the timetable set out in the funding agreement	Business & Economy	Helen Kemp	Nicole Patterson & Sam Swinbank	3x5	15	High	The Council is working closely with the Developer Consortium and the relevant stakeholders to ensure the project can be delivered on time. Obligations on project delivery will seek to pass on risk of project slippage to Developer Consortium to mitigate risk to the Council. Project Slippage has forced the need for a contract variation for the Local Enterprise Partnership Local Grant Funding. The Local Enterprise Partnership has agreed this and the variation is being progressed.	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
Central Northallerton Redevelopment												
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 Q3

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
825	Central Northallerton Redevelopment - The income generated from the asset (Treadmills Phase 2) does not cover the Council's finance costs due to voids or low rents and the cost of management	Commercial	Mick Jewitt	Hannah Heinemann	4x5	20	High	Monitor the income stream closely and maximise commercial income. Seek other sources of funding such as the Future High Street Fund	On-going	3x4	12	High
826	Central Northallerton Redevelopment - Negative publicity about Council expenditure to support the scheme (Treadmills Phase 2) and criticism from other businesses	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Proactive communication plan and good media engagement regarding the wider economic and community benefits to the area	On-going	4x3	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

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
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
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 card payments and introduce payment by smartphone application. Model income based on new payment methods.	Jul-20	2x3	6	Med

Dalton Utilities Improvement

New Project as approved in the 2019-2023 Council Plan in September 2019. Project risk and scoring will be developed and provided for Q4.

Enhancing Health & 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"> Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Northallerton Some Section 106 funds have been secured (£300k) National Governing Bodies will be consulted in a timely fashion 	2025	3x4	12	High
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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"> Comprehensive engagement and early constructive discussions with the key stakeholders necessary to explore options and gain community buy-in Action plan to be drafted 	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"> Budgets are managed through the Council's capital programme so that funds are released and returned when grant claims are processed. Appropriate legal agreements are upheld with the developers. Regular dialogue with the developers at senior level. 	2020	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"> A Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Northallerton National Governing Bodies will be consulted in a timely fashion The council is considering purchasing a Grant Finder product 	2022	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
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"> Discussions at a senior level are taking place with Department for Education. Costings are being produced and will be shared with Department for Education. Contingency plan if plan A is reverted to – taking account of Hambleton District Council access requirements to construct future phases 	31-Jul-20	3X2	6	Med
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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Deliver a policy to support the provision of events and legacy projects for the district Comprehensively consider the opportunities that arise from individual events 	2023	2X3	6	Med
Caring for the Environment												
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

Key Corporate Project Risks 2019-20 Q3

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
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
Renewable Energy												
827	Renewable Energy - New project as approved in the 2019-23 Council Plan in September 2019. The Project will be developed during quarter 4 2019-20. Failure to develop an energy strategy to set out how the Council plans, manages and adapts to meet its energy needs leads to reputational damage.	Design & Maintenance	Steven Lister	Clive Thornton	4x3	12	High	Energy purchase from renewable sources. Set up Climate Action Group. Develop energy strategy. Identify and investigate opportunities to obtain energy from renewable sources and develop own energy generation capacity.	Quarterly Feb-20 May-20 Aug-20 Nov-20	2x3	6	Med
Electric Charging Points												
828	Electric Charging Points - New project as approved in the 2019-23 Council Plan in September 2019. The Project will be developed during quarter 4 2019-20. Failure to deliver a strategy for the introduction of an electric vehicle charging infrastructure leads to reputational damage to the Council	Design & Maintenance	Steven Lister	Clive Thornton	3x3	9	Med	Development of electric vehicle charging infrastructure strategy included within the Car Park Improvement Scheme. Consultants appointed to provide support development and implementation of the Car Park Improvement Plan. Identify and be open to opportunities outside of the car park improvement scheme to provide or facilitate the introduction of charging infrastructure and include within strategy.	Monthly Jan-20 Feb-20 Mar-20 Apr-20 May-20 Jun-20	2x2	4	Low
829	Electric Charging Points - Failure to deliver an initial phase of electric vehicle charging infrastructure in the District means the Council fails to meet the changing needs and expectations of residents and visitors	Design & Maintenance	Steven Lister	Clive Thornton	3x3	9	Med	Introduction of initial phase of charging infrastructure included within the Car Park Improvement Scheme. Consultants appointed to provide support for the development and implementation of the Car Park Improvement Plan including the provision of charging infrastructure. Identify and be open to opportunities outside of the car park improvement scheme to provide or facilitate the introduction of charging infrastructure.	Monthly Jan-20 Feb-20 Mar-20 Apr-20 May-20 Jun-20	2x2	4	Low
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	Completed	1x3	3	Low
Depot Relocation Review												

Key Corporate Project Risks 2019-20 Q3

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
801	Depot Relocation Review - Depot Layout Review - Darlington Road Depot Project to review layout and manage asbestos on site fails to mitigate risk of asbestos release and enable increase in fleet and resources in the short term. MT report 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-21	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

Providing a Special Place to Live

Local Plan

115	Local Plan - Market conditions or ineffective spatial planning leads to a reduction in new homes completions and results in the Council not meeting its new homes target and consequently reduction in New Homes Bonus & Council Tax receipts.	Planning	Helen Kemp	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
737	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

Key Corporate Project Risks 2019-20 Q3

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
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
Best in Class Planning service												
830	Best in Class - Staff become disengaged with the review process or concerned about potential outcomes leading to poor performance, resignations/sickness and therefore reduced capacity.	Planning	Helen Kemp	Helen Kemp	3x4	12	High	Review morale & staffing levels with DMs at weekly DM meeting, ensure any actions to resolve issues are identified and acted upon Receive feedback from iESE and agree what is to be communicated to the teams Issue Newsletter and schedule full briefing from iESE/JI	Ongoing 21 Jan 2020 W/C 27 January 2020	2x3	6	Med
831	Best in Class - iESE Review fails to deliver improvements	Planning	Helen Kemp	Helen Kemp	2x5	10	Med	Maintain regular reviews with iESE to understand progress and findings. Design improvement plan based on findings. Implement Improvement Plan.	Ongoing w/c 21 Jan 2020	1x3	3	Low
832	Best in Class - Lack of resource hampers attempts to put improvements in place	Planning	Helen Kemp	Helen Kemp	4X5	20	High	Review staffing levels weekly with DMs and action immediately to replace/backfill where necessary Chief Planning Officer in post	Ongoing 24 Feb 2020	1X3	3	Low
Lambert Hospital Community Development												
818	Lambert Hospital Community Development - The project to separate the utilities shared by the Lambert Hospital and the linked Health Centre is not completed prior to the transfer of the hospital to Herriot Hospice and subsequent redevelopment	Design & Maintenance (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. Project risk and scoring will be developed and provided for Q4.												

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 Economic Vitality												
410	New Homes Bonus grant is pivotal to the resilience of the financial strategy. Failure to increase the tax base year on year or failure of the Government to provide the grant would impinge on this resilience.	Corporate Finance	Louise Branford-White	Louise Branford-White	3x4	12	High	The council completes a 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 sustainability of the 10 year financial strategy the requirement to generate income is a key objective of the Council. Projects to generate income are being developed. 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

Service Risks with a Net Risk Threshold of 12 or Above 2019-20 Q3

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
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		
Enhancing Health & Wellbeing												
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"> • Significant risk of harm to the environment and public health if any contamination is not remediated. • A potential significant financial burden on the Council. • Significant reputational damage. 	Environmental Health	Paul Staines	Vikki Flowers	4x5	20	High	<ul style="list-style-type: none"> • Documented procedures are in place and are reviewed periodically. • Reactive checks are carried out to establish Class A or Class B liability groups to prevent the Council becoming responsible for contaminated sites and funding remediation costs. • Information on prioritised sites is shared with Development Management for inclusion on the Council's Brownfield Land register of sites suitable for redevelopment, so the cost of remediation falls to the developer. • There is no designated funding in the Environmental Health budget to carry out investigation and potential remediation of contaminated sites. 	30/03/2020 Review of Contaminated Land Strategy.	3x4	12	High
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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