

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
407	Failure to develop and maintain an effective Business Continuity Plan leads to lack of resilience or inability to access HDC services resulting in loss of service or failure of service delivery.	All Services	Paul Staines	All Service Managers	1x5	5	Med	Business Continuity Policy, procedure and plans are in place across the organisation and all service managers are engaged. ICT liaise with 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

ANNEX A

Corporate Risk 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
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
800	Training and Development - Failure to plan, resource and implement and ensure attendance at mandatory corporate training and development (in line with Appendix B of the Learning and Development Policy and Procedure) for employees leads to potential physical risk and/or sub-standard service with regards to possible financial, environmental and reputational losses and legal challenge	All Services	Gary Nelson	Lynne Halls & All Services	1X3	3	Low	Human Resources will liaise with Service Managers to ensure that any mandatory training is scheduled onto the Learning and Development Calendar. Human Resources will also work with Service Managers to ensure staff attend corporate mandatory learning and development activities. Human Resources will also work with Service Managers to resolve issues of non-attendance of departmental mandatory learning and development.	Ongoing	1X3	3	Low
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

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823	Failure to take action on climate change leads to adverse impacts on the local and global environment and damages the council's reputation.	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

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Driving Economic Vitality												
Northallerton Bridge and Road Development												
629	Northallerton Bridge and Road Development - North Northallerton project slippage: unutilised grant funding is lost if it cannot be used in line with the timetable set out in the funding agreement	Business & Economy	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

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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

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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

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		
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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

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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

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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

ANNEX C

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
638	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												