

Hambleton District Council

Report To: Audit, Governance and Standards Committee

Date: 20 October 2020

From: Director of Finance and Commercial (s151 Officer)

Subject: **Annual Review of Risk Management**

Portfolio Holder: Governance
Councillor Mrs I Sanderson

Wards Affected: All Wards

1.0 Purpose and Background

- 1.1 The purpose of this report is to provide the Committee with an annual review of the Council's risk management process.
- 1.2 The Audit, Governance and Standards Committee have responsibility for the Risk Management Strategy; however they have delegated to Scrutiny Committee the oversight of the risk register on a quarterly basis. Significant changes to the risk management process are reported to both Committees.
- 1.3 The Strategic Risk Management Group established in March 2017 continues to meet regularly to drive all aspects of risk management compliance for the authority, supporting the monitoring roles performed by Management Team, Scrutiny Committee and Audit, Governance and Standards Committee. The group act as risk 'champions' ensuring risk management has an appropriate profile and sufficient focus on the corporate agenda.
- 1.4 Risk Management is embedded across the Council with the three key risk types, Corporate Risks, Key Corporate Project Risks and Service Risks with a Net Risk Threshold of 12 or Above, being examined on a quarterly basis by the Strategic Risk Management Group. These risks are also reported to Management Team for further examination and then in turn to Scrutiny Committee.
- 1.5 The internal audit of risk management in February 2020 identified minor areas for improvement but overall recognised the Council's arrangements for managing risk as good with an effective control environment in operation that provided Substantial Assurance. The findings will be discussed by Service Managers within Task and Finish groups which will take place in Quarter 3 2020-21. The aim of the groups will be to make minor improvements to current processes and achieve a more consistent approach across the Council to Risk Management as set out in the Risk Management Framework. The Risk Management Framework was last approved by Audit, Governance and Standards Committee in October 2019.

1.6 The current risk register displaying active Corporate Risks at Q1 are attached at Annex A, Key Corporate Project Risks are attached at Annex B and Service Risks with a Net Risk Threshold of 12 or Above are attached at Annex C. The Corporate Risk register includes the management of interruption to the business of the Council due to the Covid-19 pandemic and the action plans in place to allow the Council to manage this risk.

2.0 Risk Assessment

2.1 There are no risks associated with consideration of this report. However, if this report was not considered then the Committee would not be fulfilling its terms of reference and would not have the opportunity of commenting on the risk management process of the Council.

3.0 Recommendation

3.1 It is recommended that the Committee note the Corporate Risks, the Key Corporate Project Risks and the Service Risks with a net risk threshold of 12 or above attached at Annex A, B and C respectively.

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

Background papers: Hambleton District Council Risk Management Framework 2019

Author ref: LBW

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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. Audit of lone working practices and violence and aggression in the workplace are being carried out by North Yorkshire County Council's Health and Safety Adviser in Q3 and Q4 (in abeyance due to Covid. Will continue once restrictions ease). The Civic Centre recovery plan and risk assessment reflect the requirements of COVID 19. This has been mirrored for other workplaces such as the depot. Lone working is supported by Service Managers with their staff who are working from home. Service Managers are aware of the importance of knowing whether staff are at work or at home and are taking measures to ensure their staff's health and safety. 	On-going	1x3	3	Low
254	Health & Safety Workplace Risk Assessment -Failure to identify, implement and review the annual Workplace Health & Safety Risk Assessment programme leads to potential physical risk and/or sub-standard service, performance, financial, environmental and reputational losses and legal challenge.	All Services	Paul Staines	All Service Managers	5x5	25	High	Each service to implement their service specific action plan to undertake service risk assessments and workplace inspections annually. Services to work to the HDC Health & Safety Policy and arrangements for risk assessments. Professional support is bought in from NYCC Health and Safety Team under a three yearly service level agreement. Some risk assessment reviews may be late in Q2/Q3 2020/21 due to Covid considerations. This does not affect the overall risk.	Ongoing	1x5	5	Low

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407	Failure to develop and maintain an effective Business Continuity Plan leads to lack of resilience or inability to access HDC services resulting in loss of service or failure of service delivery.	All Services	Paul Staines	All Service Managers	1x5	5	Med	Business continuity policy, procedure and plans are in place across the organisation and all service managers are engaged. ICT liaise with services to provide resilience in line with the business needs. BC plans are reviewed annually as part of service planning. HDC buy in specialist advice from NYCC Resilience and Emergencies Team. Covid 19 is still in the response phase , though measures are being taken to move into recovery, this is a fluid situation and will change according to government guidance. A full review of the authority's Business Continuity arrangements, especially as they relate to pandemics, will be scheduled once recovery has been settled. This will be led by Paul Staines with advice from NYCC Resilience and Emergencies Team. The timescale is dependent upon a number of factors including the possibility of a second or even third wave.	Review Business Continuity Plans Q4 2020/21	1x3	3	Low
512	Failure to follow General Data Protection Regulation Requirements and failure to follow the Council's Information Policy leads to a violation of Data Protection Act which could lead to a fine by the Information Commissioner's Office and creates a risk of legal challenge and reputational damage where regulations are not complied with.	All Services	Gary Nelson	Laura Venn & All Services	2x3	6	Med	Retention and destruction of documentation in accordance with the Information Asset Register. Annual review of service area records management in line with Document Retention Policy and all staff to receive Data Protection training/ General Data Protection Regulation updates.	On going	2x2	4	Low
522	Failure of the Council's website or failure to maintain current/correct information removes the principal communication and compliance tool, blocks transparency and denies residents' payment facilities and emergency information resource, leading to reputational, legal and financial loss.	All Services	Helen Kemp	Anna Wilkes and all service managers	3x3	9	Med	Website hosted and supported offsite to minimise risk and current information maintained and reviewed on a regular basis. Work has commenced on updating the web platform to ensure compliance with web accessibility legislation being introduced September 2020 are ongoing, whilst there are delays introduced due to the Covid-19 response these are expected to be absorbed in the flex that was built into the programme, no delay to final deliverability is expected. Individual action plans within services established to reduce gross risk - further progress (as planned) needed with these to decrease the likelihood score further with an expectation that this will lead to a net risk of 1x3 during Q3.	Ongoing	2x3	6	Med

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602	Failure to comply with the Public Sector Equality Duty will put the organisation at risk of legal challenge and reputational damage	All Services	Gary Nelson	Lynne Halls & All Services	3x4	12	High	Service Managers with advice and guidance from Human Resources will ensure that the General and Specific requirements of the Public Sector Equality Duty are met. All Managers and Staff who follow the requirements of the Equality and Diversity Policy and Procedure and take part in any relevant training as listed in Appendix B of the Learning and Development Policy.	Ongoing	1x3	3	Low
709	Failure to set a balanced Annual Budget which is reflected in the 10 year Financial Strategy.	All Services	Louise Branford-White	Saskia Calton	1x4	4	Low	Complete and challenge the Budget setting process, generate income, create efficiency savings, consider reduction to the current budget, monitor and manage the position. Report to Cabinet and Council on an annual basis prior to the new financial year and monitor on a quarterly basis. The financial impacts of COVID 19 are being reviewed and a revised financial strategy to be presented to cabinet and council in the Autumn.	Annually - February and Quarterly monitoring	1x3	3	Low
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

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814	Failure to prepare for a No Deal Brexit leads to a disruption to services and an inability to service local needs - <ul style="list-style-type: none"> Fuel shortages affect refuse collection Fuel shortages affect individuals ability to get to work Extra demand for council services due to hardship Internal capacity to deal with changes in regulatory services Failure to manage communications with businesses/community/voluntary leads to reputational damage 	All Services	Paul Staines	Paul Staines	3x4	12	High	<ul style="list-style-type: none"> Engage with Local Resilience Forum partners at a strategic and tactical level using established emergency planning protocols Report by exception to Yorkshire and Humber lead Brexit Officers through Leeds City Council Use Local Government Association toolkit for communication Communicate with service managers forum to ensure business continuity plans reflect the risk. Corporate Brexit Plan approved by Management Team 16/10/2019.	Ongoing	1x3	3	Low
823	Failure to take action on climate change leads to adverse impacts on the local and global environment and damages the council's reputation.	CORP	Paul Staines	All Service Managers	3x5	15	High	A schedule has been drawn up documenting all services' carbon saving measures and plans to reduce carbon in the future. Working with other authorities regionally and sub regionally on positive actions, also supporting communities to take positive actions. Internal working group has been established and is baselining energy usage. A strategy is being drawn up to go the Management team in Q2 2020	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 of the Information Security Policy Participate in WARP (Warning, Advice and Reporting Point) Yorkshire group to share knowledge and information with other Councils Cyber Liability Insurance is in place. 	Ongoing	2x5	10	Med
833	Local Government Re-organisation	All Services	Justin Ives	All Directors	3x5	15	High	Whilst the decision to reorganise local government in North Yorkshire is beyond the Councils control, there are steps that can and will be taken to ensure that non statutory services provided for the residents and businesses of Hambleton are protected.	Jan-21	3x3	9	Med

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834	Staff Capacity – Failure to provide sufficient staff of a suitable competence to deliver services and the Council Plan leads to difficulties in implementation of the corporate agenda and/or sub-standard service, performance, financial, environmental and reputational losses and legal challenge.	All Services	Louise Branford-White	All Service Managers	2x5	10	Med	<ul style="list-style-type: none"> Directors/Service Managers to regularly review their service requirements and available resources Corporate capacity of the organisation to deliver Council Plan projects was reviewed in Qtr. 4 2019/20 and a process exists to report to Project Management Board on a monthly basis Regular management consideration of the various performance monitoring and review mechanisms to ensure delivery is on target Periodic review by Management Team of corporate management capacity to deliver Council Plan Currently continual review in light of COVID-19 as a result of the regular Government announcements for increased Local Government support. ICT implications are being considered along with other pressures across the Council. In the longer term this is connected with Disaster Recovery and Business Continuity planning and of prior importance is the Health and Well Being of all staff. 	<p>Quarterly review</p> <p>March 2020</p> <p>Quarterly review</p> <p>Quarterly review</p>	1x3	3	Low
835	Business interruption due to coronavirus	All Services	Paul Staines	Paul Staines	3x5	15	High	<p>Central government plans in place- monitor daily</p> <p>North Yorkshire Local resilience Forum (NYLRF) procedures. Strategic Co-ordination Group (SCG) and Tactical Co-ordination Group (TCG) have now stood down and been replaced by a Multi Agency Meeting.</p> <p>Service Managers to review business continuity plans and plan for 30% absence</p> <p>IT to prepared for extra demand for home and mobile working</p> <p>Staff briefings to be carried out on business continuity and symptoms and preventative measures</p> <p>Teams to be provided with cleansing gels, wipes etc</p> <p>Service Managers to keep up to date with guidance via GOV.UK and England.nhs.co.uk</p> <p>Procedures being put in place to manage a return to work, corporate risk assessment drawn up, plans in place for vulnerable staff and their relatives</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Complete</p> <p>Complete</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>	2x5	10	Med

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841	Local Government Re-organisation - Failure to deliver the projects in the council plan due to loss of key staff leads to significant financial losses, reputational damage and potential legal challenge.	All Services	Justin Ives	All Directors	3x5	15	High	<ul style="list-style-type: none"> Improve the focus on the delivery of projects in the short timescale available. Good contingency planning and regular meetings. Sharing of knowledge and information in a central location. Good record keeping and documented procedure notes. Continue to make Hambleton an attractive place to work to encourage the retention of key employees. Keep staff informed of developments in a timely manner. Establish and retain good relationships with other stakeholders. Ensure that business continuity planning is robust. Maintain a positive attitude and approach to Local Government Re-organisation. 	Oct-20	2x2	4	Low
842	Local Government Re-organisation - Failure to review the effects of the risks involved with Local Government Re-organisation on a regular basis leads to ineffective planning, resourcing and implementing of the corporate objectives.	All Services	Justin Ives	All Service Managers	2x2	4	Low	<ul style="list-style-type: none"> All risks are considered on a quarterly basis by Service Managers as part of the quarterly risk management review. The requirement to assess the Local Government Re-organisation risks will be highlighted as part of this process. Service Managers must make the review of Local Government Re-organisation risks a priority. Risks are reviewed quarterly by Management Team, Strategic Risk Management Group and Scrutiny Committee. Checks are therefore in place to ensure that a review will occur. 	Oct-20	1x1	1	Low

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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 Patterso n & Sam Swinbank	3x5 15 High	The Council is working closely with the Developer Consortium and the relevant stakeholders to ensure the project can be delivered on time. Obligations on project delivery will seek to pass on risk of project slippage to Developer Consortium to mitigate risk to the Council. Project Slippage has forced the need for a contract variation for the Local Enterprise Partnership Local Grant Funding. The Local Enterprise Partnership has agreed this and the variation is being progressed but a revised delivery timetable needs to be fixed by the developer in order for this to be progressed. Bridge - None of the tender submissions received (total of 5 contractors bid) allowed for the delivery of the bridge by March 2021, likely delivery date September 2021 although supply chain delays due to Covid-19 have yet to be considered. Liaising with the LEP regarding the issues this raises with Local Growth Fund contract	Mar-22	2x6 12 High
631	Northallerton Bridge and Road Development -North Northallerton Development project proceeds but its viability is detrimentally affected by loss of grant. Other development costs would have to be reduced to make the project viable.	Business & Economy	Helen Kemp	Nicole Patterso n & 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 Patterso n & 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								

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738	Central Northallerton Redevelopment - The returns to the Council that are expected from the development are not received	Commercial	Louise Branford-White	Hannah Heinemann	4x4 16 High	Monitor the Joint Venture Company Budget quarterly for phase 1 and support the development of phase II.	Quarterly	3x4 12 High
739	Central Northallerton Redevelopment - The site is not developed to reflect the aspirations of the Council	Commercial	Louise Branford-White	Hannah Heinemann	4x5 20 High	1. Central Northallerton Development Company Limited Board meets every 2 months. 2. Chief Executive & Deputy Leader represent the interest of the Council on this board. 3. Internal Board meeting reviews, monitors and suggests actions - meets every 6 weeks.	6 weekly monitoring, completion date summer 2020	3x4 12 High
793	Central Northallerton Redevelopment -Treadmills Purchase Phase 1 - Changes in the retail market that impact on our investment including financial difficulties of the tenants	Commercial	Mick Jewitt	Hannah Heinemann	4x4 16 High	Monitor at the Programme Management Board and Project Group and agree appropriate asset management strategy where appropriate.	Monthly monitoring	3x4 12 High
804	Central Northallerton Redevelopment – Increase in cost of the project once works begin due to unforeseen circumstances	Commercial	Mick Jewitt	Hannah Heinemann	4x4 16 High	Manage project to identify issues early and identify parts of project that can be adapted.	Monitoring Monthly as Project progresses	3x4 12 High
805	Central Northallerton Redevelopment – The Council doesn't achieve the best financial return.	Commercial	Mick Jewitt	Hannah Heinemann	4x3 12 High	Communicate the wider economic and community benefits.	6 weekly monitoring	4x3 12 High
806	Central Northallerton Redevelopment – Not possible to deliver the preferred scheme because of lack of retail and leisure pre-lets or viability.	Commercial	Mick Jewitt	Hannah Heinemann	3x4 12 High	Change to 'Variant' scheme or review alternative options when the market is volatile.	6 weekly monitoring	3x4 12 High

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807	Central Northallerton Redevelopment – The prison site is not successfully developed because developers consider the listed buildings are too great a risk.	Commercial	Mick Jewitt	Hannah Heinemann	3x4 12 High	Undertake a detailed study showing uses and alterations that are possible and acceptable to promote developer confidence.	6 weekly monitoring	3x4 12 High
808	Central Northallerton Redevelopment – Crosby Road – The Council loses income.	Commercial	Mick Jewitt	Hannah Heinemann	3x4 12 High	Consider other actions for improving income.	6 weekly monitoring	3x4 12 High
809	Central Northallerton Redevelopment – Crosby Road – A precedent could be created for similar arrangements on offers, promotions and incentives in other Council car parks.	Commercial	Mick Jewitt	Hannah Heinemann	3x4 12 High	Explain the unique reasons for the arrangements at Crosby Road. Explore proposals for other Council car parks where appropriate.	6 weekly monitoring	3x4 12 High
810	Central Northallerton Redevelopment – Crosby Road – Police parking is displaced from the Crosby Road Car Park.	Commercial	Mick Jewitt	Hannah Heinemann	3x4 12 High	Central Northallerton Development Company Limited agree arrangements with the Police. The Police make alternative provision.	6 weekly monitoring	3x4 12 High
825	Central Northallerton Redevelopment - The income generated from the asset (Treadmills Phase 2) does not cover the Council's finance costs due to voids or low rents and the cost of management	Commercial	Mick Jewitt	Hannah Heinemann	4x5 20 High	Monitor the income stream closely and maximise commercial income. Seek other sources of funding such as the Future High Street Fund	6 weekly monitoring	3x4 12 High
826	Central Northallerton Redevelopment - Negative publicity about Council expenditure to support the scheme (Treadmills Phase 2) and criticism from other businesses	Commercial	Mick Jewitt	Hannah Heinemann	4x4 16 High	Proactive communication plan and good media engagement regarding the wider economic and community benefits to the area	6 weekly monitoring	4x3 12 High

Leeming Bar Employment Site

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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 later in 2020 to allow issues to be raised and to be addressed as part of the Scheme Development Stage. This is following the work on the Local Plan and the planning Inspectors feedback	Autumn 2020	3x4 12 High
Car Park Improvement Scheme								
615	Car Park Improvement Scheme - Bedale Gateway Car Park - Inability to deliver Bedale Gateway Car Park project leads to long-term damage to local economy through loss of visitors and trade.	Design & Maintenance (incl Public Lighting)	Steve Lister	Clive Thornton	3x4 12 High	Economic assessment in 2017 indicated limited if any impact on economy due to relief road. Work being undertaken to determine possible partners and funding options to deliver car park. On-going monitoring of economic vibrancy of town. Review in 2020/21. Consideration being given to provision of coach parking bays.	Dec-20	3x3 9 Med
816	Car Park Improvement Scheme - Failure to deliver the project in accordance with the programme July 2018 – July 2020 loss of reputation	Design & Maintenance	Steve Lister	Clive Thornton	3x4 12 High	Monitor scheme progress and manage robustly delays in delivery. Consultant employed to support project delivery. Internal monthly meetings to monitor progress. Project meetings on monthly basis with consultant supported by monthly written progress reports. Regular updates required to Management Team and monthly updates with Portfolio Holder. Liaise with North Yorkshire County Council to manage the Parking Order variation process. COVID-19 Impact on scheme delivery	Dec-20	2x3 6 Med
817	Car Park Improvement Scheme - Pay and Display income below budget due to changes in payment methods, parking periods and tariffs	Design & Maintenance	Steve Lister	Clive Thornton	3x4 12 High	Retain cash payments, introduce debit and credit card payments and introduce payment by smartphone application. Model income based on new payments methods. COVID-19 impact on scheme delivery.	Dec-20	2x3 6 Med
Dalton Utilities Improvement								
Not a project; more of a communications role between businesses and NPG (Northern Power Grid)								
Enhancing Health & Wellbeing								

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Northallerton Sports Village								
699	Northallerton Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended	Leisure & Communities	Steve Lister	Lisa Wilson	4x4 16 High	<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
Sowerby Sports Village								
745	Sowerby Sports Village (Future Phases) - Funding Plan cannot be resourced sufficiently to develop the village as intended	Leisure & Communities	Steve Lister	Lisa Wilson	4x4 16 High	<ul style="list-style-type: none"> A Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Sowerby. National Governing Bodies will be consulted in a timely fashion The council has purchased a Grant Finder product 	2022	2x3 6 Med
836	Sowerby Sports Village - delays to construction of access result in reputational and financial damage.	Leisure & Communities	Steve Lister	Lisa Wilson	3x4 12 High	<ul style="list-style-type: none"> Works have started on time and a programme of works has been agreed and is being closely monitored. Strict COVID-19 protocols are being adhered to Ongoing communications between Department for Education and the school 	2020	2x4 8 Med
Thirsk & Sowerby Leisure Centre Improvements								
820	Thirsk & Sowerby Leisure Centre Improvements - Presently at feasibility stage. Risks will be identified if a decision is made to progress the project. Decision made to progress to Cost Confidence Report due in April 2020. Cost confidence report received, report to go to cabinet in September regarding progressing to Cost Certainty.	Leisure & Communities	Steve Lister	Colin Winfield		<ul style="list-style-type: none"> New Project - Action plan to still to be established. Report due Summer 2020. Internal project meetings in place whilst decision on project progress is made. 		
Community Leisure Facilities Improvements - Bedale, Easingwold and Stokesley								

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821	Community Leisure Facilities Improvements - Without a planned approach to investment and development of facilities there will be a deterioration in service performance, financial and reputational losses and a negative impact upon the health and well-being of residents/customers.	Leisure & Communities	Steve Lister	Colin Winfield/ Dave Ashbridge	4x4 16 High	<ul style="list-style-type: none"> Develop and implement a planned approach to investment and development of leisure facilities. SLC gym refurbishment carried out, further work planned for 2020/21 	2023	2x6 6 Med
Events and Legacy Programme								
822	Events and Legacy Programme - The Council fails to properly consider or implement events, or their legacy, for the district that are consistent with its aspirations and therefore misses out on improvement opportunities for its residents	Leisure & Communities	Steve Lister	Lisa Wilson/ Colin Winfield	3x3 9 Med	<ul style="list-style-type: none"> Deliver a policy to support the provision of events and legacy projects for the district Comprehensively consider the opportunities that arise from individual events 	2023	2x3 6 Med
Caring for the Environment								
Crematorium Project								
811	Crematorium Project - Increase in costs of the project once design has been developed and fully costed.	Commercial	Mick Jewitt	Hannah Heinemann	4x4 16 High	Manage project to identify issues early and identify parts of project that can be adapted. Carry out value engineering exercise with the consultant team.	Monitoring Monthly as Project progresses	3x4 12 High
812	Crematorium Project - An alternative scheme by a competitor could be submitted for planning permission.	Commercial	Mick Jewitt	Hannah Heinemann	4x4 16 High	Proceed with the project expeditiously. Review planning application by planning barrister to ensure the Council has submitted the best possible scheme and has given due consideration to all relevant matters.	Monitoring Monthly as Project progresses	3x4 12 High
813	Crematorium Project - The income from the service is less than expected and/or the operating costs are higher than anticipated.	Commercial	Mick Jewitt	Hannah Heinemann	4x4 16 High	Develop KPIs, monitor and implement improvement plans. Identify issues early.	Monitoring Monthly as Project progresses	3x4 12 High
Renewable Energy								

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827	Renewable Energy - New project as approved in the 2019-23 Council Plan in September 2019. The Project will be developed during quarter 4 2019-20. Failure to develop an energy strategy to set out how the Council plans, manages and adapts to meet its energy needs leads to reputational damage.	Design & Maintenance	Paul Staines			4x3 12 High	Set up Climate Action Group. Develop environmental strategy. Identify and investigate opportunities to obtain energy from renewable sources. Use regional network of officers to baseline existing usage and look for shared approaches and projects.	Quarterly	2x3 6 Med
Electric Charging Points									
828	Electric Charging Points - New project as approved in the 2019-23 Council Plan in September 2019. The Project will be developed during quarter 4 2019-20. Failure to deliver a strategy for the introduction of an electric vehicle charging infrastructure leads to reputational damage to the Council	Design & Maintenance	Steven Lister	Clive Thornton		3x3 9 Med	Development of electric vehicle charging infrastructure strategy included within the Car Park Improvement Scheme. Consultants appointed to provide support development and implementation of the Car Park Improvement Plan. Identify and be open to opportunities outside of the car park improvement scheme to provide or facilitate the introduction of charging infrastructure and include within strategy. Priority locations have been identified. COVID-19 impact on scheme delivery.	Monthly Jul-20 to Mar-21	2x2 4 Low
829	Electric Charging Points - Failure to deliver an initial phase of electric vehicle charging infrastructure in the District means the Council fails to meet the changing needs and expectations of residents and visitors	Design & Maintenance	Steven Lister	Clive Thornton		3x3 9 Med	Introduction of initial phase of charging infrastructure included within the Car Park Improvement Scheme. Consultants appointed to provide support for the development and implementation of the Car Park Improvement Plan including the provision of charging infrastructure. Identify and be open to opportunities outside of the car park improvement scheme to provide or facilitate the introduction of charging infrastructure. Priority locations have been identified.	Monthly Jul-20 To Mar-21	2x2 4 Low
Depot Relocation Review									

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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 due July 2020.	Wass	Paul Staines	Gary Brown/Sue Seddon	4x5 20	High	Arcadis delivered options appraisal for the existing site and alternative location proposals in July 2020. Project scope to be revised in the light of local government reorganisation.	Mar-21	2x5 10 Med
802	Depot Relocation review - Digital Depot Project fails to meet objectives	Wass	Paul Staines	Gary Brown/Sue Seddon	4X5 20	High	Project risk register to be managed at all project meetings and appropriate action taken to ensure delivery plan achieved. Project group set up. Technical advice brought in from Scarborough BC.	Dec-20	2x4 8 Med
815	Depot relocation Review – to identify suitable land for relocation for the medium to long term requirements of WASS – as per MT report. Management Team report due July 2020.	Wass	Paul Staines	Gary Brown/Sue Seddon	2X5 10	Med	Project risk register to be managed at all project meetings and appropriate action taken to ensure delivery plan achieved. Project reporting via Project Management Board. Suitable land is not presently available as per Arcadis report July 2020. However, project scope to be revised in the light of local government re-organisation	Mar-21	2x4 8 Med

Providing a Special Place to Live

Local Plan

115	Local Plan -Market conditions or ineffective spatial planning leads to a reduction in new homes completions and results in the Council not meeting its new homes target and consequently reduction in New Homes Bonus & Council Tax receipts.	Planning	Helen Kemp	Jon Berry	3x3 9	Med	Progress a new Local Plan for the period up to 2035 that reflects current government guidance and provides a good range of deliverable housing sites. Also work closely with developers to bring sites forward. Regular performance monitoring and good project management.	Reviewed quarterly	3x1 3 Low
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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		
116	Local Plan - Lack of resources or failure in the process leads to Local Plan being found unsound at Examination resulting in a need to repeat the process, leading to speculative planning applications and appeals.	Planning	Helen Kemp	Jon Berry	1x4	4	Low	Project planning to ensure new Local Plan is brought forward in a timely manner and is based on a robust evidence; based on Sustainability, Appraisal, Community & Stakeholder engagement and that legal requirements are followed. Review Local Development Scheme annually. Local Planning Enforcement consultants checking document prior to Publication. Investment in planning policy staff resource & software.	Review monthly	1x4	4	Low
737	Local Plan - The Plan is found to be unsound at the Examination stage	Planning	Helen Kemp	Jon Berry	2x5	10	Med	Robust evidence base is being developed. Policies to reflect government guidance. Plan is to be checked by experts prior to Publication. Planning Inspectorate to report Autumn 2020.	Autumn 2020	1x5	5	Med
763	Local plan - Ineffective spatial planning results in the Council being found to be in failure and the government intervenes.	Planning	Helen Kemp	Jon Berry	1x5	5	Med	Up to date Local Development scheme to be published. Members & officer involvement in Duty to Co-operate. Robust evidence base for strategic approach in new Local Plan	On-going	1x4	4	Low
764	Local Plan - The Local Plan is overly ambitious & cannot be justified at Examination	Planning	Helen Kemp	Jon Berry	4x4	16	High	Robust evidence base has been produced and is being consistently updated. Duty to Co-operate consultation with neighbouring Local Authorities and key stakeholders. Production of Statement of Common Ground. Strategy approach aligns with the Council's Economic Strategy, the Strategic Economic Partnership, etc	Review in line with Local Development Scheme	2x4	8	Med
Best in Class Planning service												
830	Best in Class - Staff become disengaged with the review process or concerned about potential outcomes leading to poor performance, resignations/sickness and therefore reduced capacity.	Planning	Helen Kemp	Jon Berry	3x4	12	High	Review morale & staffing levels with DMs at weekly DM meeting, ensure any actions to resolve issues are identified and acted upon Receive feedback from iESE and agree what is to be communicated to the teams Issue Newsletter and schedule full briefing from iESE/JI	Ongoing 21 Jan 2020 W/C 27 January 2020	2x3	6	Med
831	Best in Class - iESE Review fails to deliver improvements	Planning	Helen Kemp	Jon Berry	2x5	10	Med	Maintain regular reviews with iESE to understand progress and findings. Design improvement plan based on findings. Implement Improvement Plan.	Ongoing w/c 21 Jan 2020	1x3	3	Low

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832	Best in Class - Lack of resource hampers attempts to put improvements in place	Planning	Helen Kemp	Jon Berry	4x5 20	High	Review staffing levels weekly with DMs and action immediately to replace/backfill where necessary Chief Planning Officer in post	Ongoing 24 Feb 2020	1x3 3 Low
Lambert Hospital Community Development									
818	Lambert Hospital Community Development - The project to separate the utilities shared by the Lambert Hospital and the linked Health Centre is not completed prior to the transfer of the hospital to Herriot Hospice and subsequent redevelopment	Design & Maintenance	Steve Lister	Clive Thornton	2x4 8	Med	Liaise with nhs properties on regular basis, attend nhs properties project meetings, gain assurance from nhs properties. COVID-19 impact on scheme delivery,	Aug-20	2x3 6 Med
Vibrant Market Towns									
751	Vibrant Market Towns Project – Business Bulletins. Declining numbers on mailing list or increasing numbers of subscribers are not opening bulletin.	Business & Economy	Helen Kemp	Nicole Patterson / Sam Swinbank	2x3 6	Med	Keep content relevant and to the point. Continual promotion of the bulletins to businesses, and reminder promotional work internally so that B&E team can recruit a pipeline of new subscribers.	Reviewed annually/ January 2020	2x3 6 Med
752	Vibrant Market Towns Project – Town distinctiveness themes. Lack of adoption by towns.	Business & Economy	Helen Kemp	Nicole Patterson / Sam Swinbank	2x3 6	Med	Develop distinctiveness themes in conjunction with delivery partners in each town to ensure buy-in and support. Further development on VMT to be ongoing when return to 'normal' times following Covid-19	2020/21	2x3 6 Med
755	Vibrant Market Towns Project – Professional Communications and Media. Social Media – a controversial post may cause offence.	Business & Economy	Helen Kemp	Nicole Patterson / Sam Swinbank	1x4 4	Low	Social Media training and guide provided to the team. The posts will be created and scheduled in advance, taking away the risk of an 'off the cuff' post. Post content will be written to avoid controversy.	Training completed April 2019 On-going	1x4 4 Low
756	Vibrant Market Towns Project –Developing the Markets offer across the district. Lack of engagement by traders.	Business & Economy	Helen Kemp	Nicole Patterson / Sam Swinbank	2x3 6	Med	The development and promotion of the markets is embracing all the markets in the district. Regular communications with traders has been established and will continue. The work is managed by a project management team as required.	Annual meeting with traders June 2019 Project Group meets as required	2x3 6 Med

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK	ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK
757	Vibrant Market Towns Project – Built and Natural Environment. Periodic Town clean -up events by volunteers. Risk of injury.	Business & Economy	Helen Kemp	Nicole Patterson / Sam Swinbank	2x3 6 Med	The clean-up teams are equipped with hi-vis vests and appropriate equipment (e.g. pick sticks). Care will be taken to avoid heavy lifting and carrying.	Periodic when events take place	1x3 3 Low

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Driving Economic Vitality												
410	New Homes Bonus grant is pivotal to the resilience of the financial strategy. Failure to increase the tax base year on year or failure of the Government to provide the grant would impinge on this resilience.	Active	Corporate Finance	Louise Branford-White	Louise Branford-White	3x4	12 High	The council completes a thorough review on an annual basis to identify new homes which should be included in the tax base that are currently not. The New Homes bonus grant is reviewed in the Government financial settlement annually and this will be monitored specifically for 2020/21. The 10 year financial strategy approved by Council in February 2020 recognises that the government will not support this grant in future years and therefore the amount of funding profiled has been reduced. Alternative funding methods are being sought.	Ongoing	3x4	12	High
411	Beyond 2019/20 there is a risk of further significant grant reductions should government priorities shift from increased housing provision to enhancing functions not undertaken by the Council.	Active	Corporate Finance	Louise Branford-White	Louise Branford-White	3x4	12 High	To support the future 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.	Ongoing	3x4	12	High
412	A continued low Bank Base Rate would impact on the Council's ability to generate investment income from balances.	Active	Corporate Finance	Louise Branford-White	Saskia Calton	4x2	8 Med	The market is continually monitored and estimates made for future investment income which are included in the financial strategy	Monitored daily	4x2	8	Med
416	Significant reductions in government grant leading to the inability to sustain council services at the current level.	Active	Corporate Finance	Louise Branford-White	Louise Branford-White	4x5	20 High	An on-going programme of efficient service delivery, saving reviews and a focus on income generation that ensures best value is being achieved and income is maximised.	Ongoing	4x4	16	High
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.	Active	Revenues & Benefits	Louise Branford-White	Louise Branford-White	4x5	20 High	Monitoring of business rate growth is ongoing and opportunities are taken to retain business rates when government initiatives arise e.g. Business Rate Pilot scheme. Comprehensive Spending Review is awaited and the Council is pro-actively lobbying government with regard to potential funding being received.	Ongoing	4x4	16	High
794	Commercial Property Portfolio - Management of costs increasing or higher than expected	Active	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16 High	Careful choice of property, tenants as well as monitoring through the Investment Board and Property Investment Advisor	Quarterly monitoring	3x4	12	High

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795	Commercial Property Portfolio - Rental income reducing due to business failures or delay in reletting units	Active	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Careful monitoring through the Investment Board and property investment advisor, also advice from Property Investment Advisor regarding market intelligence.	Quarterly monitoring	3x4	12	High
796	Commercial Property Portfolio - Legislation introduced that prohibits Local Authorities to borrow for commercial profit	Active	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Continue to review and monitor current regulations and legislation.	Quarterly monitoring	3x4	12	High
797	Commercial Property Portfolio - There is insufficient knowledge within the Council to support this commercial investment	Active	Commercial	Mick Jewitt	Hannah Heinemann	4x4	16	High	Regular monitoring reports from Property Investment Advisor should minimise this risk.	Quarterly monitoring	3x4	12	High

Enhancing Health & Wellbeing

542	<p>Failure to have procedures and available resources to carry out proactive and reactive inspections of potentially contaminated land resulting in:</p> <ul style="list-style-type: none"> • Significant risk of harm to the environment and public health if any contamination is not remediated. • A potential significant financial burden on the Council. • Significant reputational damage. 	Active	Environmental Health	Paul Staines	Vikki Flowers	4x5	20	High	<ul style="list-style-type: none"> • Documented procedures are in place and are reviewed periodically. • Reactive checks are carried out to establish Class A or Class B liability groups to prevent the Council becoming responsible for contaminated sites and funding remediation costs. • Information on prioritised sites is shared with Development Management for inclusion on the Council's Brownfield Land register of sites suitable for redevelopment, so the cost of remediation falls to the developer. • There is no designated funding in the Environmental Health budget to carry out investigation and potential remediation of contaminated sites. 	Dec-20	3x4	12	High
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Caring for the Environment

Risks for this priority were considered to be below the net risk threshold of 12 or above.

Providing a Special Place to Live

Risk ID	Risk Name	Status	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
426	Failure to properly manage joint arrangements with North Yorkshire County Council Children & Young People's Service leads to safeguarding problems with homeless children, resulting in legal challenge and personal harm	Active	Strategic Housing	Helen Kemp	Alison Morton	3x4	12	High	Working closely with other Local Authorities and North Yorkshire County Council to address safeguarding issues and mitigate risk. Need to ensure that despite cuts in funding, through shaping of new delivery models, there continues to be sufficient safeguarding measures in place going forward. New protocol has been implemented from 1st April 2018	Quarterly reviews	3x4	12	High
638	Community Infrastructure Levy income below expectations, leading to a lack of funding for infrastructure improvements and therefore further delivery of housing.	Active	Planning	Jon Berry	Ann Rawlinson	4x3	12	High	Procedures to be developed to pursue non payment through the Community Infrastructure Levy regulations. Income low in part due to the levels of exemptions	Quarterly review	4x3	12	High