

Hambleton District Council

Report To: Audit, Governance and Standards Committee

Date: 5 October 2021

From: Interim Director of Finance (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 has 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 that 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 During Quarter 3 2020-21, Service Managers took part in task and finish groups in which it was agreed that risk would become a regular feature at the Service Manager's Forum. Risk has consequently been discussed at the Service Manager's Forums since December 2020, keeping risk management high on the agenda with the aim to achieving a more consistent approach across the Council.
- 1.6 The current risk register displaying active Corporate Risks at Q1 is 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. In addition, there are currently four corporate risks surrounding Local Government Re-organisation, which include the retention of staff and failure to deliver projects.

1.7 During Quarter 2 2021-22, members of the Strategic Risk Management Group will meet to discuss the approach that will be taken to risk management with regard to the forthcoming local government re-organisation. Particular attention will be given to whether all risks are still relevant and if the number of risks can be reduced.

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.

Noel O'Neill
Interim Director of Finance (s151 officer)

Background papers: Hambleton District Council Risk Management Framework 2019

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Risk ID	Risk Name	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.	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 lone working procedures. Service action plans in place including: <ul style="list-style-type: none"> Specific service risk assessments & practices in place All relevant staff receive Health & Safety training A system of monitoring and review is in place where the corporate Health & Safety Group monitor risk assessment management and associated Key Performance Indicator's. Audits 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-19. Will continue once restrictions ease). The Civic Centre recovery plan, risk assessment and supporting employees plan 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. Specific Covid-19 management team meetings are in place to ensure that plans are up to date. 	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.	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. There is a corporate performance indicator to complete 100% of risk assessments in key areas. This is measured by the Health and Safety Officer and reported to the corporate Health and Safety Group quarterly.	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.	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 further waves. Consideration will need to be given to how service managers would respond to a situation in which IT systems are unavailable and the majority of staff are working from home. This will be addressed in Q2 and Q3 2021/22.	Review Business Continuity Plans Q4	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.	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.	Ongoing	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.	Mick Jewitt	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 been undertaken on updating the web platform to ensure compliance with web accessibility legislation introduced September 2020. There were delays introduced due to the Covid-19 response but the new web platform went live in December 2020. 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 Q4.	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	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 4 year Financial Strategy.	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 continually monitored and an updated position is provided on a quarterly basis to Cabinet in the Revenue Monitoring Report 2021/22. The financial strategy was updated and approved by Council in February 2021 for the 2021/22 financial year taking into account the estimated reduction in funding from Government and the necessary use of reserves to support the impact of covid-19; the Financial Strategy remains affordable sustainable and prudent.	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.	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

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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	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
823	Failure to take action on climate change leads to adverse impacts on the local and global environment and damages the council's reputation.	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 and policy was approved by Council in April 2021. A further report will go to Management Team in September 2021.	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	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	Justin Ives	All Directors	3x5	15	High	Whilst the decision to re-organise 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.	Steve Lister	All Service Managers	3x6	18	High	<ul style="list-style-type: none"> Directors/Service Managers to regularly review their service requirements and available resources, with urgent discussions needed between Service Managers and Directors where residual risks are 12 or above. Corporate capacity of the organisation to deliver the Council Plan projects and services is reviewed frequently with consideration being given to capacity by Service Managers and Directors, Programme Management Board and Management Team. This takes account of Local Government Re-Organisation, Covid-19 and other strategic pressure. Regular management consideration of the various performance monitoring and review mechanisms to ensure delivery is on target Continual review in light of COVID-19 as a result of the regular Government announcements for increased Local Government support. In the longer term this is connected with Disaster Recovery and Business Continuity planning and of clear importance with regards the health and well being of all staff. There is a moratorium on recruitment with exceptions being considered by Management Team. Alternative options / temporary proposals to be considered by MT / Directors. 	Ongoing Ongoing Quarterly review Ongoing Ongoing Ongoing	2x3	6	Med

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835	Business interruption due to coronavirus	Paul Staines	Paul Staines	3x5	15	High	<ul style="list-style-type: none"> •Central government plans in place- monitor daily •North Yorkshire Local resilience Forum (NYLRF) procedures. Strategic Co-ordination Group (SCG) and Tactical Co-ordination Group (TCG) have now stood down again due to the easing of the situation, meetings are to be Director of Public Health led as of May 2021. •Service Managers to review business continuity plans and plan for 30% absence in conjunction with Brexit and winter flu contingencies. •All office based staff have the capacity for home and mobile working. •Regular staff briefings carried out through newsletters and briefings to Service Manager Forum. •On site teams are provided with cleansing gels, wipes etc •Service Managers to keep up to date with guidance via GOV.UK and England.nhs.co.uk •Procedures are in place to manage a return to work, corporate risk assessment drawn up, plans in place for vulnerable staff and their relatives, working from home procedures and risk assessments completed. Outbreak management plans in place for Civic Centre. •HDC has its own recovery plan, that is reviewed monthly and is fed into the county wide recovery strategy where it is reviewed monthly. •Lateral Flow Device testing is in place for all staff at Council premises and as at April 2021 is available to anyone in the country. •There are staff support plans in place and a new health and well-being service has been launched. Staff are actively encouraged to get the vaccine and are supported to take time off work to facilitate this. •Q2 2021-22 new government advice to ease restrictions has led to a need to review all Return to Work Plans and subsequent measures to ensure business continuity, new risk assessments and a new recovery plan are being drawn up for approval by management team in July 2021. 	Apr-21	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.	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. 	Ongoing	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.	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
843	Local Government Re-organisation - Failure to maintain morale and motivation amongst staff leads to reduced performance, sub-standard service, possible sickness and possible resignation with potential reputational damage and financial losses.	Justin Ives	All Directors	4x2	8	Med	<ul style="list-style-type: none"> Re-assurance that Hambleton District Council will take an active role in the re-organisation process to ensure that the interests of staff are appropriately represented. Keep staff informed of developments in a timely manner. Provision of incentives to retain staff. Continue to support and invest in staff and to develop their knowledge and skills to motivate them in the current situation and prepare them for what the future holds. Understand what makes Hambleton an attractive place to work and continue to work with staff to carry this forward. Communicate regularly with staff on a personal level to resolve issues. Maintain a positive attitude and approach to Local Government Re-organisation. 	Oct-20	2x1	2	Low

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844	A lack of knowledge and application surrounding the prevention of fraud and corruption , increases the possibility of the Council's susceptibility to risk leading to loss of funds and reputational damage. Fraud risks include but not exclusively, commissioning of services, procurement, payroll, identity fraud, council tax, business rates, grants, disabled facility grants, insurance fraud, housing benefit/council tax reduction, cyber enabled fraud.	Louise Branford-White	All Service Managers	2x4	8	Med	<ul style="list-style-type: none"> •A fraud risk assessment has been undertaken against the fraud and corruption risks along with horizon scanning of future potential risks. •A counter fraud and corruption strategy exists which has been communicated throughout and updated at Audit, Governance & Standards Committee in October 2020. •Arrangements are in place to ensure probity and propriety in the conduct of business. •Successful cases of proven fraud / corruption are routinely publicised to raise awareness. •The Council has put in place arrangements to prevent and detect fraud and corruption and also a mechanism for ensuring that this is effective and is reported to committee. •Members and staff are aware of the need to make appropriate disclosures of gifts, hospitality and business. This is checked by auditors and reported to committee. •There is a programme of works to ensure a strong counter fraud culture across all department and delivery agents led by counter fraud experts. •An independent whistle-blowing policy exists. •Aspects of fraud are included in HR policies including the flexi-time policy. Recruitment / selection includes full ID checks. •An annual fraud plan covers all areas of Council business and includes activities undertaken by contractors and third parties or voluntary sector activities. •Professionally trained fraud officers have unfettered access to premises and documents for the purposes of counter fraud investigation. •All allegations of fraud and corruption are risk assessed. •The fraud and corruption response plan covers all areas of counter fraud work; prevention, detection, investigation, sanctions and redress. •Data is shared across services and with other enforcement 	Apr-21	1x2	2	Low

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854	Failure to implement Brexit legislative changes leads to a disruption to services and an inability to service local needs - <ul style="list-style-type: none"> Internal capacity to deal with changes in regulatory services Failure to manage communications with businesses/community/voluntary leads to reputational damage 	Paul Staines	All Service Managers	2x3	6	Med	<ul style="list-style-type: none"> Engage with Local Resilience Forum partners at a strategic and tactical level using established emergency planning protocols Communicate with service managers forum to ensure business continuity plans reflect the risk Service managers to review legislative changes and implement necessary service changes 	Apr-21	1x3	3	Low
856	Failure to effectively manage the implications of having an ageing workforce , for example retirement options and age-related health matters could result in a loss of experienced employees and the consequent impact on service delivery and reputation.	Steve Lister	All Service Managers	4x5	20	High	<ul style="list-style-type: none"> Establish the existing position regards age demographics for each service. Establish the existing position regards age-related health problems for each service. Establish benchmark data for the metrics above. Obtain external guidance / advice from those facing similar issues. Set up a specific working team to establish an action plan. Consider ways to retain existing staff. Use agency staff as a last resort. Review blanket ban recruitment policy. Consider apprenticeships and a more flexible approach to job roles. Promote positive aspects of working in local government eg good pension, longevity. Review in light of Local Government Re-organisation. 	Jun-21	3x3	9	Med

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					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
Driving Economic Vitality												
Discover Hambleton												
To be developed in Q2												
Covid-19 Economic Response & Recovery Programme												
To be developed in Q2												
Hambleton Education and Skills Programme												
845	Skills Village Planning permission is not granted	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x5	10	Med	Discussions have been held with Members and planning colleagues ahead of submitting an application to ensure the proposals were suitable and likely to gain consent.	Mar-22	1x5	5	Med
846	Skills Village Licence for site is not granted	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x5	10	Med	The developers and landowners involved in the North Northallerton site have been engaged in the project planning and are agreeable to granting of a licence.Discussion at Project Management Board and Asset Management Working Group	Mar-22	1x5	5	Med
847	Skills Village A key member of the Business and Economy Team leaves the organisation before the project starts or during delivery.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	5x4	20	High	The Council has a highly experienced Economic Development Team that comprises 10 individuals. It has the capacity to manage a broad work programme and to ensure priority projects continue to be delivered in such circumstances. Continue to work closely as a team on key projects to build in resilience	Sep-21	3x3	9	Med
848	Skills Village We are unable to recruit key members of staff needed to help deliver the project.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	5x4	20	High	There are a number of experienced staff in the team to support the delivery of the project but will also require specialised advice and may recruit external support..	Mar-21	3x2	6	Med

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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	Mick Jewitt	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 – the agreement allows until October 2021 for the bridge to be delivered. A condition of the agreement was to ensure that all Local Growth Fund was spent and evidenced by end of March 2021. This was met. The LEP requested that 10% of the funds were retained to ensure that the developers continue with their reporting obligations through to project completion.	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	Mick Jewitt	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. Progress kept under review through quarterly strategic project monitoring and as part of quarterly performance review and risk management review process.	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	Mick Jewitt	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. Progress kept under review through quarterly strategic project monitoring and as part of quarterly performance review and risk management review process.	2028	3x5	15	High

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Treadmills - Phase 2 and 3 / Future High Street Fund												
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. Secure additional external funding where possible. Internal Project Group monitors budget and costs on a 6-weekly basis.	To be reviewed in Q2 2021-22	3x4	12	High
825	Central Northallerton Redevelopment - The income generated from the asset (Treadmills Phase 2 and 3) 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. Future High Street Funding has been secured. Keep members apprised of any future issues.	6 weekly monitoring	3x4	12	High
826	Central Northallerton Redevelopment - Negative publicity about Council expenditure to support the scheme (Treadmills Phase 2 and 3) 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
849	Northallerton Town Square Improvements – delivery delays result in Local Growth Fund (circa £1m to spend in Q4 20/21) being lost to the project and the council having to find additional funding to complete delivery.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	4x3	12	High	The project has been designed, tendered and a contractor appointed who is due to start on site in January. Materials have been pre-ordered to front load the scheme with spend. Similarly the S278 commuted sums will be paid in Q4 20-21 to reduce funds remaining. A spend profile will be developed with the contractor and monitored regularly with them to ensure remaining funds can be spent and evidence assembled in the required timeframe. All Local Growth Funding (LGF) has been claimed by the agreed deadline, now monitoring of Future High Street Fund spend for the project	01/03/2022 Complete	2x3	6	Med
850	Northallerton Town Square Improvements – project costs greater than anticipated, council has to additional funding to complete delivery.	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	4x3	12	High	A contingency for cost overrun or to cover additional supporting work has been included in the amount contained in the Cabinet report (Nov 20).	Ongoing	2x3	6	Med

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851	Northallerton Town Square Improvements - Project management capacity not sufficient - Issues that arise are not dealt with in a timely manner causing delay or increased expenditure	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	2x4	8	Med	Provide dedicated project management capacity. Ensure clear roles and responsibilities of project team	Ongoing	2x3	6	Med
852	Northallerton Town Square Improvements - Delays caused by unexpected underground services - Delays to programme and additional cost – negative perception by stakeholders	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	3x3	9	Med	Undertake Ground Penetrating Radar Surveys and trial holes to identify potential issues. Early engagement with utilities. Maintain effective public relations and communications through the scheme.	Ongoing	2x3	6	Med
853	Northallerton Town Square Improvements - Disruption to post Covid High Street Re-opening - Negative feedback from High Street Businesses, traders and residents	Business & Economy	Mick Jewitt	Nicole Patterson / Sam Swinbank	3x3	9	Med	Effective project management to anticipate and respond to policy changes. Ensure positive public relations and communications through the project.	Ongoing	2x3	6	Med

Enhancing Health & Wellbeing

Community Leisure Facilities Improvements

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 Easingwold Sports hall and 3g now open Funding agreed to carry out developments at Bedale Leisure Centre. 	2023	2x3	6	Med
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Northallerton Sports Village												
699	Northallerton Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended (greater risk to phases after phase 1)	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 Section 106 funds have been secured (£464k) and Community Infrastructure Levy funding (£310k); and European Regional Development Fund application has been successful for £503,706k National Governing Bodies will be consulted in a timely fashion. The Council has purchased a Grant Finder product. 	2023	2x4	8	Med
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"> Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Thirsk National Governing Bodies will be consulted in a timely fashion – currently working with the Football Foundation on a grant application. The council has purchased a Grant Finder product 	2022	2x3	6	Med
Thirsk & Sowerby Leisure Centre Improvements												
820	Thirsk & Sowerby Leisure Centre Improvements - Failure to deliver project to stipulated quality / cost / programme	Leisure & Communities	Steve Lister	Colin Winfield	3x4	12	High	<ul style="list-style-type: none"> Working with established development partner Alliance Leisure. Project risk register in place. Fortnightly progress meeting scheduled 	Sep-21	2x3	6	Med
Community Assest Enhancement												
To be developed												

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Caring for the Environment												
Implementing the Climate Change Action Plan												
827	Climate Change - New project as approved in the 2019-23 Council Plan in September 2019. 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. Identify and investigate opportunities to obtain energy from renewable sources. Use LGA Carbon Tool to baseline existing usage and look for shared approaches and projects. A strategy and policy was approved by Council in April 2021. Application made to the Government's De-Carbonisation Fund in January 2021 and successful £4.7 million grant awarded, Leisure Services to deliver. A further report is to be presented to Management Team in September 2021.	Quarterly	2x3	6	Med
Hambleton Decarbonisation Scheme												
To be developed												
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
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. Report to Members at the earliest opportunity.	Monitoring monthly as project progresses	3x4	12	High
Electric Vehicle Charging Points												
828	Electric Charging Points - Failure to deliver a plan and programme 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 / plan. Priority locations have been identified. Programme for priorities in place. Monitor and review. Significant impact of COVID-19 on scheme delivery	Sep 21 Nov-21 Jan-22 Mar-22	2x2	4	Low

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Decarbonisation of the Leisure Centres												
To be developed												
Providing a Special Place to Live												
New 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	Jon Berry / Mick Jewitt	Jon Berry	3x3	9	Med	Progress a new Local Plan for the period up to 2036 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
763	Local Plan - Ineffective spatial planning results in the Council being found to be in failure and the government intervenes.	Planning	Jon Berry / Mick Jewitt	Jon Berry	1x5	5	Med	Up to date Local Development scheme to be published in September 2021. Members & officer involvement in Duty to Co-operate. Robust evidence base for strategic approach in new Local Plan	On-going	1x4	4	Low
Best in Class Planning service												
831	Best in Class - iESE Review fails to deliver improvements	Planning	Jon Berry	Jon Berry	2x5	10	Med	The iESE involvement is now complete and the Chief Planning Officer is using their findings as a base to design an improvement plan, there has been some delay and requirement to amend draft plans due to Covid and emerging Local Government Re-organisation. Implement Improvement Plan.	Ongoing	1x3	3	Low
832	Best in Class - Lack of resource hampers attempts to put improvements in place	Planning	Jon Berry	Jon Berry	4x5	20	High	Review staffing levels weekly with Development Managers and action immediately to replace/backfill where necessary Chief Planning Officer in post. Brief Management Team on resource requirements	Ongoing	1x3	3	Low
Heritage Action Zones												
To be developed												

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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	Mick Jewitt	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 Business & Economy team can recruit a pipeline of new subscribers.	Reviewed annually/ January 2022	2x3	6	Med
752	Vibrant Market Towns Project – Town distinctiveness themes. Lack of adoption by towns.	Business & Economy	Mick Jewitt	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 Vibrant Market Towns to be ongoing when return to 'normal' times following Covid-19. Gencon and Gillespies have been commissioned to complete Town Investment Plans which will incorporate distinctiveness themes developed with the input of local stakeholders	Dec-21	2x3	6	Med
755	Vibrant Market Towns Project – Professional Communications and Media. Social Media – a controversial post may cause offence.	Business & Economy	Mick Jewitt	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.	On-going	1x4	4	Low
756	Vibrant Market Towns Project –Developing the Markets offer across the district. Lack of engagement by traders.	Business & Economy	Mick Jewitt	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 in association with Design and Maintenance.	Project Group meets as required	2x3	6	Med

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416	Significant reduction in government grant and support from business rates leading to the inability to sustain council services at the current level.	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. The 4-year Financial Strategy 2021/22 to 2024/25 takes into account the estimate reduction of grant and business rates funding, where 11 risks are provided in detail in the Financial Strategy 2021/22 to 2024/25 Report approved by Members in February 2021.	Ongoing	4x4	16	High
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. However, it is a legislative requirement that the Council would fund decisions made. • Contaminated Land now included in the Service's Enforcement Policy. 	31.03.2022 Review	3x4	12	High

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732	Failure to have an appropriate Management Information System (MIS) for Environmental Health to collect data, create and maintain intelligent work processes, provide and analyse performance management information and provide data for statutory returns and other requests for information resulting in: <ul style="list-style-type: none"> • Inefficient working practices. • Lack of effective performance management. • Poor quality customer interaction. • Increased customer complaints. • Failure to provide information to Government agencies and other bodies/individuals. • Failure to comply with data protection requirements. • Failure to complete project within timescale due to the coronavirus pandemic. 	Environmental Health	Paul Staines	Vikki Flowers	5x4	20	High	<ul style="list-style-type: none"> • Current Management Information System is not fit for purpose. • Data is recorded; however the system does not allow effective performance management, intelligent workflows, agile working solutions or effective customer interaction. • Data retention is not compliant with statutory requirements. • Lack of knowledge and expertise to make improvements. • Following a review of the current system to identify deficiencies, it has been established that the required improvements are likely to be cost prohibitive. A new Management Information System provider has been appointed. • Challenge to implement system during new working arrangements as a result of Coronavirus and the go live date has been delayed due to Coronavirus and development issues within the system. 	31.03.2022 Implementation of the Management Information System. The development and implementation phases are now underway	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	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 Pool with other West Yorkshire and North Yorkshire Councils in 2020/21. The Council has not entered any Business Rate pooling arrangements for 2021/22 due to the potential detrimental impact from the Covid-19 pandemic. The Comprehensive Spending Review in Autumn 2021, as to potential changes through the Business Rate Retention Scheme and Fair Funding review undertaken from Government, is awaited for the funding implications on the Council. The Council is pro-actively lobbying government with regard to potential funding that will be received.	Ongoing	4x4	16	High