

## **Hambleton District Council**

**Report To:** Audit, Governance and Standards Committee

**Date:** 27 September 2022

**From:** Chief Executive (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 six monthly 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. All risks with a net risk threshold of 12 or above are also reported to Management Team for further examination and then in turn to Scrutiny Committee.
- 1.5 The internal audit of risk management for 2021/22 took place in May 2022 and identified very minor areas for improvement but overall recognised that arrangements are in place to support effective risk management. The findings have been distributed to Service Managers.
- 1.6 Extracts from the current risk register displaying active corporate risks with a net risk threshold of 12 or above at Q4 are attached at Annex A and service risks with a net risk threshold of 12 or above at Q4 are attached at Annex B. There were no key corporate project risks with a net risk threshold of 12 or above during this quarter.

The corporate risk register includes a risk associated with Local Government Reorganisation (LGR), which concerns failure to deliver projects and services. A risk surrounding workforce morale and motivation is also included which relates to staff retention and the potential impact upon the delivery of services.

- 1.7 During Quarter 1 of 2022-23, Service Managers were asked to reflect upon the risks that they considered to be most significant within their service areas. The purpose of this is to ensure that they can be flagged to the LGR Risk Management Workstream and carried forward into the new organisation.

## **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 and service risks with a net risk threshold of 12 or above attached at Annex A and B respectively.

Dr Justin Ives  
Chief Executive (s151 officer)

**Background papers:** Hambleton District Council Risk Management Framework 2019

**Author ref:** JB

**Contact:** Dr Justin Ives  
Chief Executive (s151 Officer)  
Direct Line: 01609 767001

Jacky Byrne  
Performance and Improvement Officer  
Direct Line: 01609 767034

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
841	<b>Local Government Reorganisation</b> - Failure to deliver services and the projects in the council plan could lead to significant financial losses, reputational damage and potential legal challenge. External pressures also exist from LGR work and potential pressure to assist colleagues from neighbouring authorities.	Justin Ives	All directors	3x5	15	High	<ul style="list-style-type: none"> <li>• Re-assurance that Hambleton District Council will take an active role in the reorganisation process to ensure that the interests of staff are appropriately represented.</li> <li>• 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.</li> <li>• Understand what makes Hambleton an attractive place to work and continue to work with staff to carry this forward, whilst maintaining a positive attitude to Local Government Reorganisation.</li> <li>• Regular staff briefings and a new website keep staff informed of developments in a timely manner.</li> <li>• Improve the focus on the delivery of projects in the short timescale available.</li> <li>• Ensure that business continuity planning is robust: sharing knowledge; sound record keeping / documented procedures.</li> </ul>	July 2022	3x4	12	High
860	<b>Workforce morale and motivation</b> , influenced by factors such as; uncertainty surrounding the future along with recruitment and staff retention has the potential to impact upon service delivery to the residents of Hambleton.	Justin Ives	All directors	4x4	16	High	<ul style="list-style-type: none"> <li>•Clear direction and motivation required from Management Team in order to continue momentum.</li> <li>•Understand what makes Hambleton an attractive place to work and continue to work with staff to carry this forward, whilst maintaining a positive attitude to Local Government Reorganisation.</li> <li>•New corporate plan in development detailing the focus over the remaining period.</li> <li>•Resources for measures such as employment of temporary staff to meet vacancies soon to be provided to support employment issues.</li> </ul>	July 2022	3x4	12	High

Risk ID	Risk Name	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
					Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
855	Health and Safety of waste operatives and public from community undertaking litter picking, leaving bags of unknown items unsafely on highway verges	WaSS	Paul Staines	Sue Seddon / Gary Brown	4x4	16	High	Withhold Hambleton District Council litter picking equipment if unsafe practices are identified (many not using HDC equipment). NYCC/HDC officers advising when witness those undertaking unsafe practices. A1 'Please take your litter home' signs provided free of charge to Town and Parish Councils (directed at road users) for display on private land adjacent to main roads leading into towns/villages. Suite of posters developed – directed at littering and provided free of charge as above for use in public areas. HDC unable to take further action that will reduce the likelihood of this risk.	Jun 22	3x4	12	High
857	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.	WaSS	Paul Staines	Sue Seddon / Gary Brown	4x5	20	High	Explore council policy for flexible retirement to enable skilled staff to continue to work and reduce potential injury/absence from physical aspect of waste operational duties. Risks of employing agency staff as it is resource intensive and potential risk to health and safety. New starters need experienced staff to help embed into the operational duties safely Investigate options around overstaffing / increased training. Action plan to be developed which is being taken up as part of LGR work.	Monthly	3x5	15	High
861	Failure to maintain security at depot results in potential theft of fuel from vehicles and depot fuel store which would impact on the ability to fulfil service delivery.	WaSS	Paul Staines	Sue Seddon / Gary Brown	4x5	20	High	Additional security around fuel storage in place including reviewing CCTV coverage. Weekly fuel deliveries in place when possible although two recent deliveries not fulfilled. Investigating additional supplier. Business continuity plan implemented to reduce essential services as required. Assessment of safety relating to fueling vehicles in morning as opposed to end of day undertaken, H&S risk considered too high to change to morning refuelling.	Weekly	3x5	15	High