

29 July 2009

OVERVIEW AND SCRUTINY COMMITTEE

Thursday 6 August 2009 at 6.30 pm
Member's Lounge - Ryedale House, Malton, North Yorkshire YO17 7HH

Agenda

- 1 **Apologies for Absence**
- 2 **Minutes of the meeting of the Overview & Scrutiny Committee held on 2 July 2009** (Pages 1 - 8)
- 3 **Urgent Business**
To receive notice of any urgent business which the Chairman considers should be dealt with at the meeting as a matter of urgency by virtue of Section 100(B)(4)(b).
- 4 **Declarations of Interest**
Members to indicate whether they will be declaring any interests under the Code of Conduct.

Members making a declaration of interest at a meeting of a Committee or Council are required to disclose the existence and nature of that interest. This requirement is not discharged by merely declaring a personal interest without further explanation.
- 5 **Matters Referred for Decision in Relation to Call In**
- 6 **Presentation from North Yorkshire County Council - Attendance Management Policy** (Pages 9 - 28)
- 7 **Annual Report** (Pages 29 - 76)
- 8 **Scrutiny of Crime and Disorder** (Pages 77 - 86)
- 9 **Customer Complaints Monitoring** (Pages 87 - 96)

- 10 **Local Government Ombudsman Annual Review 2008-09** (Pages 97 - 120)
- 11 **Joint Flooding Scrutiny Project - Final Report** (Pages 121 - 158)
- 12 **OVERVIEW & SCRUTINY ACTING AS AUDIT COMMITTEE**
- 13 **Partnership Governance Toolkit** (Pages 159 - 182)
- 14 **Service Risk Register - Organisational Development** (Pages 183 - 190)
- 15 **Service Risk Register - Environment** (Pages 191 - 208)
- 16 **Decisions from Other Committees**
Community Services Committee held on 23 July 2009
Policy & Resources Committee held on 30 July 2009 (to follow)
- 17 **Any other items which the Chairman decides are urgent**

Overview & Scrutiny Committee Meeting

held at Ryedale House, Malton
2 July 2009

Present

Councillors Mrs Shields (in the Chair), Andrews, Clark, Cussons, Cottam, Jackson, Raper, Mrs Wilford and Windress

In Attendance

J Barnett, P Cresswell Mrs E Hayes J Ingham, Ms G Matthewman, Miss L Sandall, A Winship

Minutes

10 **Apologies for Absence**

There were no apologies for absence

11 **Urgent Business**

The Chairman reported that there were no items of urgent business to consider.

12 **Declarations of Interest**

Councillor Mrs Wilford declared a personal non prejudicial interest in item 8 (Sickness Absence/Attendance Management Policy) as an Employee of North Yorkshire County Council.

13 **Matters referred for Decision in Relation to Call-In**

No items were called in

14 **Attendance at Policy Committees**

Members considered a report that provided them with a draft rota for attendance to observe at Policy committee meetings.

Appended to the report was guidance and a checklist to help Members with the process.

RESOLVED

That the draft rota and accompanying checklist be agreed and incorporated with the Council's Scrutiny Handbook.

15. **Reconsideration of an Affordable Housing Review**

Members considered a report that asked them to reconsider the decision taken at the 3 July 2008 meeting to undertake an affordable housing review.

The report outlined the background to the review, and reminded Members that they had asked Council to create a broad based Steering Group for Affordable Housing. Council had, however, resolved to instruct Community Services and Licensing Committee to consider affordable housing as a standing item on its agenda, and to consider how best to meet the aspirations expressed by Overview and Scrutiny Committee. The actions agreed by the Community Services and Licensing Committee on 25 September 2008 were outlined in the report, along with the Overview and Scrutiny Committee recommendations from the 9 October 2008 meeting.

The report informed Members that the Community Services Committee considered housing activity and issues at each of its meetings, via a standing item on Housing Performance and through guest speakers. The Community Services Committee also considered grant performance and the need for any amendments to better meet housing needs, together with staffing and other changes to meet the recommendations of the Audit Commission Review of Affordable Housing in North Yorkshire.

As a result the committee had monitored delivery of new affordable homes, which was on target at Christmas 2008 to meet an annual figure of 75 units for 2008/09. However, the collapse of the housing market and the sudden fall-off in affordable units through the Section 106 route meant that delivery had fallen short. The Committee had met with Yorkshire Housing to discuss means to improving delivery and would meet with house builders.

The report concluded that a scrutiny review on affordable housing should add to and not replicate the activities of the Community Services Committee. Given the activities that had been described in the report, Members considered there was very limited benefit in proceeding with a scrutiny review of affordable housing. They requested that this item be placed on the agenda in six months time in order to review this decision.

Resolved:

That this Committee does not undertake a review of affordable housing.

16. Annual Audit and Inspection Letter.

Members considered the Annual Audit and Inspection Letter which had been produced by the Audit Commission . It provided an overall summary of the Audit Commission's assessment of the Council. It drew on the most recent Comprehensive Performance Assessment (CPA) and the findings and conclusions from the audit of the Council for 2007/08.

The CPA carried out in 2004 assessed the Council as good. The assessments were now being updated in Councils where there was evidence of change. In the

Direction of Travel report, two issues were considered. These were what evidence was there of the Council improving outcomes, and how much progress was being made to implement improvement plans to sustain improvement.

The letter listed the evidence that the Council was improving outcomes in the areas of opportunity and choice of housing and employment, diverse and vibrant communities, safe and inclusive communities and clean and sustainable built and natural environment. The letter reported that it was difficult to judge progress against the commitment to have an effective and integrated communication and transport network as there was a lack of data on key local performance indicators in this area. It also stated that the Council reported that its priority actions in the area of having efficient and effective high quality services accessible to everyone in a way that suited them were on target or close to being so. It had not, however made consistent improvement on its key performance indicators in this area.

Regarding how much progress was being made to implement plans to sustain improvement, the report indicated that the council had adequate plans for delivering improvement. The letter indicated that the Council had significantly reviewed its capital programme and revised some of the plans as it had become evident that the original objective was not achievable. The previous year's report had indicated that the Council had made slower than expected progress in some areas including developing a business Continuity Plan and ensuring all staff received development reviews. The letter reported that there had been further slippage on both. Staff absence was another area where improvement had not been as expected,.

The letter indicated that the Chief Finance Officer had reported that reserves were in a healthy position and were sufficient to cover emergencies and unforeseen liabilities. It indicated that the Council had made faster than average progress in the promotion of race equality, having gone from worst to best quartile on this indicator in the last three years.

The letter indicated that there were no significant weaknesses in corporate governance that would prevent improvement levels being sustained.

The appointed auditor Deloitte LLP had reported separately to Overview and Scrutiny committee on the issues arising from the 2007/08 audit and had issued;

- An audit report providing an unqualified opinion on the accounts and a conclusion on the value for money arrangements to say the arrangements were adequate.
- An opinion to state the whole of government accounts submission was consistent with the audited accounts
- A report on the Best Value Performance Plan confirming that the Plan had been audited.

For the purposes of the CPA, the auditor had assessed the Council's arrangement for the use of resources. These were split into 5 areas, being financial reporting, financial management, financial standing, internal control and value for money. Overall the assessment of the audit commission was 3 out of 4, which represented

an improvement on the prior year scores.

The balance of the general fund at 31 March 2008 was £1,339,000 after the Council contributed £191,000 in 2007/08. This was within the target range for reserves set by the Council. Deloitte did not identify any fundamental weaknesses in the financial and accounting systems.

Resolved:

That the Annual Audit and Inspection Letter be accepted.

17. **Sickness Absence/Attendance Management Policy**

Members considered a report that provided them with information regarding sickness absence/attendance management policies to inform their review of the Council's sickness absence.

The report outlined the definition of a policy, and what should be included in a policy. The report noted that the current policy and procedure requirements provided for minimal operational management of attendance within team and departmental functions. Lack of employee and management responsibilities in detail gave way to minimum contact between employee and line manager. The key elements of what should be contained within a sickness absence/attendance management policy were outlined in the report.

It was reported that the main gaps between the current policy and recommended content were communication, support and management information reporting. The amended procedures gave a better understanding for all staff and what was expected of them. The procedures were transparent, consistent and fair considering equality and diversity measures expected of a public sector organisation. Employees would have a better understanding of the procedures and their responsibilities. Line Managers would be provided with better tools, including standard letters, clearer procedures, toolkits, FAQ's and step by step guides at managing individual cases, with access to the HR department for further guidance. The report highlighted that more aligned procedures for staff and management to follow for effective absence/attendance management were vital for a successful procedure, and indicated that the amended procedures would give this.

Members were informed that North Yorkshire County Council had made significant improvements in reducing absenteeism by introducing a range of incentives. Members requested that a representative of North Yorkshire County Council be invited to a future meeting of this Committee to share the County's ideas for improving absenteeism. Members were further informed that the Council's Senior Management Team received data on a regular basis from Human Resources which, it was felt, would be useful for Members to see to help them understand the reasons for sickness absence and the trends

Resolved:

- (i) That the report be received.
- (ii) That a representative from North Yorkshire County Council be invited to attend a meeting of this committee to discuss with Members their approach to sickness absence and monitoring
- (iii) That another District Authority of comparative size that has been performing well in this area for 2-3 years also be invited to attend a meeting of this Committee to discuss their approach
- (iv) That the management information currently received by the Council's Corporate Management Team be shared with Members.

18. **Overview and Scrutiny Procedure Rules**

Members considered a report which provided them with re-drafted Overview and Scrutiny committee procedure rules, including call-in and sought their views of whether they wished to recommend any amendments as part of the wider review of the constitution.

Members wished Officers to investigate the procedure of other authorities regarding the calling in of decisions recommended to Council. They also requested officers ask other Authorities about their procedure of Call in, in relation to the Proper Officer's determination as to whether an item was eligible for call in or not.

It was recommended that decisions involving expenditure or reductions in service (13.4 (ii)) that this figure remain at £25,000.

Resolved:

That the re-drafted procedure rules as detailed in Annex A be considered and that the Constitution Review Working Party be informed of the procedure of other authorities regarding calling in and the Proper Officers' determination.

19 **Customer Complaints Monitoring**

Members considered a report that informed them of the number and type of complaints received under the Council's complaints procedure for the period January – March 2009.

The annexes to the report included complaints monitored under individual service complaints systems, and also a summary of customer feedback to Community Leisure Ltd for the period January to March 2009 together with action taken where appropriate.

Resolved:

That the report be accepted.

20 **Officer Code of Conduct.**

Members considered a report that briefed them on issues relating to the production of an Officer code of Conduct.

The action plan for implementation in 2008/09 in relation to the Annual Governance Statement included reference to the need for a bespoke Officer Code of Conduct . The report stated that the Council had an Officer Code of Conduct in place since 1995, but that this required some updating. Members were reminded that a Code of Conduct should fulfil at least the following functions:-

- a) It established minimum standards of conduct for employees.
- b) It established a mechanism for Officers declaring and registering interests
- c) It established rules in relation to gifts and hospitality.

Members were informed that despite two consultation papers on the subject there had been no indication that the Secretary of State would issue a Code of conduct for local government employees in the foreseeable future. It was therefore, important that the Council proceed to develop and adopt it's own updated code without delay.

Resolved:

That the report be received.

That, given the delay in Government coming forward with a Code of Conduct for local government employees, Members supported the proposed way forward recommended by the Council Solicitor and progress the introduction of an up to date Officers Code of Conduct.

21 **Service Risk Register – Environment**

Resolved:

That consideration of this item be deferred until the next meeting.

22. **Annual Internal Audit Report 2008/09.**

Members considered a report which presented the annual Internal Audit Report for 2008/09 from the North Yorkshire Audit Partnership.

The report, detailed in Annex A to the main report, provided an assurance statement for the financial systems of the Council, based on the work undertaken to date, and part experience. Members were reminded that there was an element of interpretation and balanced judgement in the Audit.

Members questioned the grading of satisfactory on the ICT risk assessment, and it was agreed that Officers would provide a synopsis for Members regarding that particular assessment. Members requested more information be provided

concerning the overspend identified in the briefing note circulated at the meeting, and it was agreed that Officers would circulate it.

Overall, it was reported that the Council was on the way to embedding Risk Management within the organisation, and that the Corporate Governance arrangements were sound. Internal controls within the financial systems in operation throughout the year were fundamentally sound, with 96% of audits completed having a good or satisfactory audit opinion.

Resolved:

That the Annual Internal Audit Report for 2008/09 be approved

Councillor Clark requested that his vote against approval be recorded, insofar as he had formally requested background information on the overspend, which had not been forthcoming.

The Meeting finished at 9.20 pm

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Improving Health and Attendance

Attendance Management Policy

Status of policy:

- Status of Policy: Implemented on 1st June 2005
- *To be used in conjunction with **Improving Health and Attendance, Managing Attendance, A Manager's Toolkit, 2005***

Access: If you require this information in an alternative format, such as large type, audio cassette or Braille, please contact the Policy and Support Team, Personnel Services on 01609 532817 or personnelpolicy@northyorks.gov.uk

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Short and medium term absence Overview

Meeting type	Purpose	Who attends	Options for actions
Attendance Consultation Meeting (ACM)	Exploratory and Supportive	Line manager Employee	<ul style="list-style-type: none"> Take none, situation resolved Set targets and review date in 3 months Begin to monitor
ACM 3 month Review	Offer support Review progress Decide actions	Line manager Personnel Rep Employee (can be accompanied)	<ul style="list-style-type: none"> Satisfactory progress, end process Insufficient progress set one month review date No progress, issue Formal Notification with one month review
One month review from ACM 3 month review	Offer support Review progress against targets Decide actions	As above	<ul style="list-style-type: none"> End sufficient progress made No progress or Insufficient progress issue Formal Notification with one month review If on Formal Notification and no progress made issue Final Notification with one month review
Reviews where Notifications have been issued	Offer support Review progress Decide actions	As above	<ul style="list-style-type: none"> If on Formal Notification and progress made, continue monthly reviews. If on Formal Notification and no progress issue Final Notification with one month review If on Final and progress made continue monthly reviews. If on Final and no progress refer to Attendance Panel
Appeal against Final Notification	Review decision making process	One senior manager One Personnel Manager Employee Representative	<ul style="list-style-type: none"> Uphold appeal Overturn and recommend other action under the policy End procedure
Attendance Panel	Consider evidence Hear representation Decide on course of action	Two senior managers Personnel Representative Employee Representative	<ul style="list-style-type: none"> Extend period for improvements and or continue with monthly reviews Terminate employment ASD
Appeal Panel	As above	One senior manager Member Employee Representative	<ul style="list-style-type: none"> Uphold appeal but apply other sanction Overturn appeal and confirm termination

Employee contacts manager via
Absence reporting procedures
They expect to be absent long-term
(see Section 9.0)



The manager should arrange a referral of the
employee to the Council's Occupational Health
Service. The referral should be made as early as
possible, depending on the circumstances. The
manager must advise the employee of actions
(see section 7.0)



If the Occupational Health Service confirms
that the reasons for sickness absence are
due to an underlying medical cause then the
manager will consult with the employee and
their representative to advise them of the
outcome. This will be done through a series
of meetings



If the recommendation is for
retirement with benefits or
termination of employment
due to ill health, the
employee will be advised
and invited to a Hearing,
(see section 18.0)



If the medical prognosis
is good and a full
recovery is likely within a
given time-scale, the
manager and personnel
adviser will need to
review the options open
to them and determine
the appropriate course of
action.



If the recommendation is for
redeployment, the
Occupational Health
Service will indicate any
medical restrictions
applying to the search for
an alternative job.



The employee can Appeal against their ill-health termination to an
Appeals Panel within 14 days of the date of their termination letter.
(Refer to the Attendance Management Toolkit)

Section One: Introduction and Scope

- 1.0 North Yorkshire County Council values the contribution of its staff in the delivery and maintenance of quality services to the community. Whilst recognising that employees may be prevented from attending work through ill-health, the Authority has a duty to maintain service delivery and minimise disruption. The Authority is therefore committed to managing attendance and sickness absence and believes that it is the responsibility of the Authority's managers, trade unions and employees to work together to promote the management of sickness absence and ill health. **The attendance management policy applies to all employees of the County Council except those employed under the School Teacher's Pay and Conditions of Service and staff employed under Local Management of Schools where separate policies apply.**

Objectives

- 2.0 Through the application of this policy the County Council aims to:
- Promote employee health and well being in the workplace.
 - Promote good attendance and minimise absence.
 - Ensure effective recording, monitoring and information management to support attendance management.
 - Enable managers to most effectively manage employees to achieve high levels of attendance improvement in service quality through robust and fair absence management actions and procedures.

Principles for active management interventions

- 3.0 In order to achieve the above objectives this policy will promote the following:
- The role of attendance management within performance management, appraisal and recruitment and selection.
 - Minimising risks to health and safety in the workplace.
 - Providing work life balance solutions to absence management.
 - Discussion and dialogue as key factors to resolve absence issues.
 - Managing the period of absence to support both the team and the individual.
 - Clarity of roles and responsibilities in relation to managing attendance
 - Support of disabled employees through the application of disability equality principles.
 - Provide a supported return to work and taking account of rehabilitation needs.
 - Confidentiality, sensitivity and equity.

Manager responsibilities

- 4.0 Attendance management is a key responsibility for all managers and forms part of the appraisal of management competencies. Effective attendance management contributes to better quality services.
- 4.1 All managers must be fully conversant with this policy and their responsibilities under

health and safety legislation. They must also be aware of their Disability Discrimination Act responsibilities.

4.2 Managers must accept primary responsibility for the monitoring of sickness within their team/unit and should be aware that the way staff are managed can affect the amount of sickness absence they incur. The Authority will provide regular training on this basis.

4.3 In cases where an employee is unable to attend work for ill health reasons the manager must:

- Treat the individual concerned with sympathy and understanding.
- Treat all matters related to ill health with confidentiality.
- Encourage attendance by early intervention into attendance issues and by seeking positive solutions.
- Establish effective communication systems to ensure all employees are aware of reporting procedures and their responsibilities relating to attendance.
- Conduct return to work updates to clarify reasons for absence and offer support
- Seek medical advice in appropriate cases.
- Keep accurate records of absence attributable to illness and where absence is attributable to an accident at work implement the accident at work reporting procedures.
- Monitor trends, patterns and reasons for absence.
- Treat as misconduct any abuse of the Attendance Management policy.
- Include sickness information when assessing performance in appraisals, including probationary and induction monitoring.
- Report attendance information through team structures up to Management Board to enable strategic management and ownership.

Employee responsibilities

5.0 The County Council is concerned for the well being of its employees and seeks to protect the health and safety of the workforce by creating a working environment, free from danger. When illness or injuries occur, appropriate paid leave and support is available. In return, the Council expects its employees to make a full commitment to the job for which they are employed and, in accordance with County Council procedures all employees are expected to:

- Care for their health, and seek relevant help and support wherever appropriate to resolve potential problems.
- Not misuse the sick-pay scheme and use other leave provisions for time off, where appropriate including Work Life Balance provisions.
- Seek to achieve maximum attendance by utilising support services available to aid recovery and promote continued well being.
- Notify their line manager if they are unable to attend work by following the reporting procedure set out in this policy.
- Maintain regular contact with their managers and be contactable throughout the absence period in line with this procedure.
- Co-operate fully with any request to attend meetings with management and occupational health service appointments and reviews.
- Comply with GP and occupational health advice.
- Provide certification documents when necessary, and correctly report accidents at

work to your line managers and ensure the accident at work box is ticked on the self-certification form.

Personnel Services & Occupational Health Services

- 6.0 Personnel Services are responsible for providing timely and up-to-date professional advice, guidance and support to managers and employees to effectively manage attendance that will include:
- Assisting with the provision of management information on attendance levels to Directors, Heads of Service and Managers for analysis and action, in accordance with the policy and triggers for action.
 - Supporting managers where appropriate and where the policy is applied.
 - Working closely with Occupational Health staff to effectively resolve attendance issues.
- 6.1 The Occupational Health team will support managers through the provision of timely, detailed reports on employees for whom they receive referrals. The role of OHS includes:
- Assistance in managing attendance
 - Advice on ill health retirement
 - Health promotion
 - Statutory health screening
 - Pre-employment screening
 - Telephone advice

Referrals to the Occupational Health Services (OHS) short and long term absences

- 7.0 An OHS referral can be made at any time dependent upon the particular circumstances and where appropriate. However, a referral at an early stage of the Attendance Management Procedure should be an exception rather than a rule. Please refer to the **Toolkit** for further information.
- 7.1 Where a manager refers an employee they must advise the employee they are going to do this and advise them of the reasons for the referral.
- 7.2 Most commonly, referral should be made where medical information is needed in order to progress the management of a case and where an absence is likely to be long term and in order to consider what interventions might be used and what the timescales for action are likely to be.
- 7.3 Account should be taken of the County Council's Statement of Intent with regard to the employment of disabled persons and employees who become disabled together with the implications of Disability Discrimination Act 1995. Please refer to **Toolkit** for further information.
- 7.4 Arrangements to refer an employee to the OHS can be made directly by managers. However, for additional benefit they are advised to contact their Personnel Adviser to begin a dialogue on case management considerations as well as receive guidance on suitable wording for the referral form.

Section Two: Managing Short term absence

- 8.0 Managing and improving attendance will be a consideration at all times and will be a factor informing decision in the following areas:
- Recruitment, selection and appointment procedures
 - Induction
 - Probation
 - Appraisals and performance management
 - Promotion, supervision, guidance and work planning

However, this section will concentrate on the process for managing short term absences.

Absence reporting and notification procedures

- 9.0 Any employee who is unable to work due to illness must notify their line manager at the earliest opportunity and before their start time, where possible, on the **first day of absence** (local arrangements may apply where duty or service opening times determine).
- 9.1 The employee must personally telephone their manager and advise them of the situation and where the absence relates to an accident at work notify the manager of this.
- 9.2 Where they are unable to do this through severe illness or injury they must arrange for a relative/friend to contact the manager on their behalf as soon as possible on the first day of absence.
- 9.3 During the first conversation with their manager employees should specify the nature of illness, the actual date on which the sickness began and when they expect to be fit to return to work where this is predictable. The manager will keep a note of this discussion.
- 9.4 **Where absence continues** the employee must keep in touch with their manager to give details of the expected date of return. Where the expected date of return arrives and the employee is not well enough to return they must telephone their manager to let them know at the earliest opportunity and before their start time where possible.
- 9.5 **Where absence continues for more than seven days:** on the eighth consecutive day of sickness absence (including Saturday and Sundays) whether or not this is a working day, a doctor's certificate must be obtained and forwarded immediately to the manager. The employee should also contact their manager by telephone to let them know of the certified period of absence in order for the manager to plan cover arrangements.
- 9.6 Absence due to sickness that has lasted for more than seven consecutive days and is not supported by a Doctor's Medical Certificate will be regarded as unauthorised and therefore unpaid. In these circumstances the manager must contact their Personnel Adviser to consider the most appropriate action. In most cases the employee will receive written notification of their obligation to provide a medical certificate within five days; otherwise their sick pay will be stopped. In some cases this will also be regarded

as a conduct issue. See **Toolkit** for further information.

- 9.7 Continuous absence must be supported by Doctor's Medical Certificates or Hospital Certificates where the employee is hospitalised. The whole period must be supported by medical notes and employees must ensure that their absence is covered. Where absence is not covered and there is no reasonable explanation the absence will be regarded as unauthorised and will be subject to the same procedure at 9.6.
- 9.8 **Returning to work:** when an employee is fit to return to work and has submitted certificates for a period of 14 days or more, a signing off note must also be obtained to show that they are fit for work. In addition, on the first day of their return to work, they must be asked to sign a copy of the County Council's self-certification form for any period of absence which has not been covered by a doctor's certificate.

Return to work updates for short term absences

- 10.0 Every incident of sickness absence must be followed by a return to work update between the line manager or designated person and the employee. In most instances return to work updates will be a short, informal discussion that is beneficial for both parties. In conducting return to work updates managers must be aware of their obligations under the Disability Discrimination Act, see **Toolkit** for further information.
- 10.1 The return to work updates is essential in helping to establish:
- The reasons for absence
 - Where patterns occur and require further action or investigation
 - The need to make medical referrals to establish if there is an underlying cause for the absence
 - Work related issues
 - The need for specific support or workplace adjustments
 - Where consideration of work life balance solutions are needed to resolve attendance issues *
 - Keeping in touch with employee welfare
- * Please refer to the **Toolkit** for further information.
- 10.2 Where personal circumstances are identified as the cause of absence the employee and manager should discuss the use of Work Life Balance policies to alleviate this. In these circumstances managers may seek support from their Personnel Advisers.
- 10.3 Return to work updates need not necessarily take place on the first day of return but this is the preferred option. The Authority has a duty of care to employees and should be appraised of reasons for sickness absence in case they are work-related.
- 10.4 Line managers should keep brief notes of meetings.

Guidance on Return to work updates is contained within the **Toolkit**.

Managing short term absence: triggers for action

- 11.0 Sickness triggers are used as a prompt for managing attendance. When a pattern of recurring short-term sickness absence or an unacceptable level of sickness absence is identified by reference to the triggers, the manager will arrange an Attendance Consultation meeting with the employee concerned.

The triggers are as follows:

- 3 or more occasions* in any rolling 6 month period.
- 4 or more occasions in any rolling 12 month period.

*An occasion is defined as a period of absence that may be consecutive days, single days or half days.

- 11.1 Caution must be exercised when considering sickness absence in relation to Disability Discrimination responsibilities and where a manager is unsure they should seek the advice of their Personnel Adviser. Reasonable adjustments are required by law to accommodate disabled people by helping them overcome the practical effects of the disability. A reasonable adjustment could be accepting that a disabled employee will need some level of absence from work and to take this into account when reviewing disability related sickness absence against the triggers. Other reasonable adjustments include:

- Adaptations to equipment
- Modification of the work environment
- Redeployment
- Discounting disability related absence

- 11.2 Managers will have discretion not to arrange a consultation meeting in some instances. For example, where an employee has reached the triggers but it has become apparent through the return to work update that the situation has been resolved, or may shortly be resolved. Where this occurs it is advisable to keep a brief note of the decision.

- 11.3 When managing short term absences, which include both short consecutive periods and odd days, it will be important to establish if there is an underlying medical cause for the absence. This may relate to a disability and advice should be sought from the Personnel Adviser. The need to establish if there is an underlying cause for frequent absences will result in a referral to the Occupational Health Service, particularly where further action is being contemplated.

Attendance consultation meeting for short term absences

- 12.0 Where an employee's attendance level has activated the triggers or there is a cause for concern regarding their health or attendance, an Attendance Consultation meeting will be arranged by the line manager.
- 12.1 The employee will be given 7 working days notice of the meeting and the reason the meeting has been called. The employee should be advised that the meeting is being held under the Attendance Management policy. Model letters are provided in the

Toolkit. At this stage there is no formal right of representation for the employee.

12.2 **The purpose of the Attendance Consultation meeting is:**

- To encourage open discussion between the manager and employee on the reasons for recent absences which have become a cause for concern
- To enquire if the reasons for absence are personal rather than health related and if so, to consider appropriate actions
- To enquire into the health and well being of the employee and to offer support where appropriate including advice on how to obtain counselling, further training or workplace adjustments
- To enquire if there are work related factors causing the absences and if so to take action on these including risk assessments
- To offer advice, guidance and support in order to reduce the absence level of the employee

Key areas the discussions must cover:

- Reaffirm the standards of attendance expected and to be achieved
- The manager will need to clarify that an improvement in attendance is being sought from the employee

Potential outcomes of the meeting:

- To decide if further action is needed such as setting targets and a monitoring period of no less than 3 months.
- If further action is required, to set an action plan to achieve the improvement in attendance levels and set the review date

The action plan will be to:

- Set a timescale within which the required improvements are to be made
- Identify the targets to be reached
- Identify necessary and reasonable methods of support, development, workplace adjustments to assist in improving attendance
- Plan the periodic review process to take place (i.e. weekly, two weekly or monthly over the three month period)
- Agree review and monitoring methods for this period (who, how, what)
- A pro-forma for all attendance management meetings is provided in the **Toolkit** as **Appendix A.**

12.3 At the Attendance Management meeting the manager will make sure that recent sickness absence information is available to share with the employee. Please refer to the **Toolkit** for guidance on where disability related absence may be regarded as a

reasonable workplace adjustment.

- 12.4 It may be that the employee's absences are not related to ill health but other factors that are domestic or personal. In these circumstances the use of other leave provisions, including work-life balance should be considered. Please refer to the **Toolkit**. The authority is supportive of employees other commitments and provides a flexi-time scheme, flexible working arrangements that can be temporary or permanent dependent upon the circumstances and a variety of other leave that can be used, where approval is given, to balance work and home commitments.
- 12.5 Where stress appears to be the cause of absence the manager should make both an Occupational Health Referral and advise the employee to contact the Staff Care Network. The manager should also consider any actions they can take to reduce this and should refer to the Managing Stress and Well being Policy.
- 12.6 At the Attendance Consultation meeting the discussion should consider any contribution the employee's work environment may be making to the pattern of ill health. Where this appears to be the case the manager should identify actions and support that will be put in place to alleviate this. The manager should also use this opportunity to review the need for, or effectiveness of, reasonable adjustments as required under the Disability Discrimination Act, and to undertake a risk assessment.
- 12.7 It must be emphasised to the employee that the meeting is to enquire of their well being and to consider support needs. However, where targets and a review date are set at this meeting, the employee will need to be advised that failure to meet the targets may result in further action taken under the Attendance Management Policy.
- 12.8 The key contents and outcomes of the Attendance Consultation meeting will be confirmed in writing to the employee within 7 working days of the meeting. A model letter is provided and a record of the meeting form, Appendix A **Toolkit**

Attendance consultation review meetings for short term absences

- 13.0 Where an Attendance Consultation meeting results in the need for a monitoring period then a review meeting will take place three months from the date of the attendance consultation meeting.
- 13.1 The employee will be notified in writing at least 7 working days prior to the meeting. And a Model letter is provided in the **Toolkit**. They will receive summary information gathered during the review period that will be discussed at the review. The purpose of the review meeting is:
- To review progress made against the targets set at the attendance consultation meeting
 - To offer support and advice on this process
 - To discuss the employee's health and well being
 - To check previously agreed support actions have been provided
 - To decide on further actions where needed which may be actions under this

policy or actions under the Conduct or Capability policies

There are three possible outcomes for the 3 month review meeting:

- Satisfactory progress has been made and the process ends
- Insufficient progress has been made and a one month review date is set
- No progress has been made and a Formal Notification is issued as part of the meeting

- 13.2 Where the sickness absence has been sufficiently reduced this will be acknowledged and the procedure will cease.
- 13.3 Where insufficient progress has been made and the absence level is still too high the manager may set a further review for a **month's time**. A plan of action is needed where this occurs together with the standards of attendance expected to be reached during this particular monitoring period.

Where insufficient progress is made and comes to light at a review meeting the manager should consider issuing a Formal Notification or, a Final Notification if a Formal Notification has already been issued. The expiry of the previous notification does not have to be reached before the procedure can be stepped up.

- 13.4 Where at the previous Attendance Consultation meeting an OHS referral was made the manager must ensure that the medical report is available to be discussed at the review meeting.
- 13.5 Where at the three month review there has been no progress and there is no reasonable explanation for this, the employee will be advised that the required standards have not been met and they will receive Formal Notification of this. The formal notification will be put in writing and will state that the failure to meet the required standard within the timescale may lead to a Final Notification that could eventually result in termination. A review date of a **month** will be set at which progress towards the targets will again be reviewed together with any other information. Model letters for this are provided in the **Toolkit**.
- 13.6 A **formal notification** will last for a period of **6 months** during which time monthly reviews will take place. If, at any of the monthly review meetings there is evidence of insufficient progress or serious deterioration of the attendance level, the manager may issue a final notification. Monthly reviews will continue then with the potential to step up the procedure where necessary.
- 13.7 A **final notification** will not be issued where a formal notification has not been issued first. The **final notification** will last for a period of **12 months** and during this period monthly reviews towards the targets will take place. If, at any of the monthly review meeting there is evidence of insufficient progress or further deterioration of the attendance level then the manager will invite the employee to an Attendance Panel Hearing. Model letters are provided in the **Toolkit**.
- 13.8 After 6 months and where sufficient progress has been made and evidenced at the monthly reviews a formal notification will expire.

- 13.9 After 12 months and where sufficient progress has been made and evidenced at the monthly review meetings a final notification will expire.
- 13.10 Where during the course of this procedure it appears that there is abuse of the procedure this will result in the disciplinary procedure being introduced.
- 13.11 Where a final notification has been issued the employee has a right of Appeal against it. They must submit their appeal within 7 working days of the notification and the hearing must be arranged as quickly as possible. An Attendance Panel will not take place until the outcome of the Appeal; see **Toolkit** for Appeal procedure details.

Attendance Panel for short term absences

- 14.0 The Attendance Panel should comprise no less than two officers of an appropriate seniority, who must have not been party to any previous actions under the procedure with the particular employee.
- 14.1 A minimum of 7 working days notice should be given to the employee informing them in writing of the date, time and venue of the Attendance Panel meeting. They must also be advised of their right to be accompanied by a trade union official or colleague, and to call witnesses and or produce relevant information. Please refer to the **Toolkit for** procedural advice. Model letters are also provided in the **Toolkit**.
- 14.2 If, as an outcome of the Attendance hearing, the Panel decide that the employee's level of absence is unacceptably high despite all the measures taken to facilitate improvements in this then it should consider the following:
- Extending the period for improvements or continuing with the monthly review, and/or modifying the targets set, together with a revised action plan and monitoring programme, or
 - Termination on the grounds of attendance (capability) with appropriate contractual or statutory notice under this procedure or,
 - Action short of termination.

Refer to the **Toolkit**, for notice period entitlements.

Right of Appeal against employment termination

- 15.0 An employee has a right of Appeal against the decision of the Attendance Panel to terminate their employment. This must be submitted within 14 working days of the date of the letter detailing the decision. The Appeal should be heard as soon as possible and where possible before the termination takes effect. It is recommended that where termination is a possible outcome an appeal panel is organised at the same time as the Attendance Panel meeting for three weeks after this.
- 15.1 Appeals against termination will be heard by an appropriate panel of at least one senior officer and one **Member** who have not been previously involved in considering the matter. The Appeals procedure is detailed in the **Toolkit**.

Section Three: Managing Long term absences

“The best way to handle long-term absence issues is to maintain effective communication between you and your employee” ACAS

- 16.0 This policy promotes the benefit and value to the employer, employee and the service of good communication and suggests contact with employees must be maintained throughout the whole period of long term sickness absence and from the start. Please refer to the **Toolkit**.
- 16.1 Where an employee remains on sick leave for more than 20 days they must continue to maintain contact with their manager. It will be necessary for them to meet with their manager to discuss and assess the situation and to consider cover plans for the absence as well as discussing an absence management action plan. The manager will however, initiate this action as soon as the details of the absence are known.
- 16.2 The employee can agree to meet the manager at a venue of their choice where they are well enough or, in their home if they prefer. Managers must always be accompanied during home visits. Any visit or meeting should not take place without the employee being given at least 5 working days notice unless the employee wishes to agree an earlier date.
- 16.3 The need to maintain contact during short, medium and long-term absence is vital and home visits or contact meetings should be arranged throughout the period of absence. The purpose of a home visit or contact meeting is to manage the absence and:
- Enquire as to the employee’s health and whether any assistance is required from the County Council.
 - Ascertain the nature of the illness and any progress made in treatment.
 - Advise whether or not a referral to the Occupational Health team will be made. Or where this has already been done to consider if further medical information is needed to progress case management.
 - Outline any major developments in the workplace to keep the employee informed.
 - Discuss phased return to work where appropriate
- 16.4 Where an employee is seriously ill or hospitalised it is not appropriate to try to arrange visits during this period, unless the employee has requested a meeting take place.
- 16.5 During a home visit or contact meeting an occupational health referral should be discussed and arranged if this has not already been done. The purpose of medical advice is to assist the process of absence management.
- 16.6 Where medical advice has been sought and results in a recommendation for medical redeployment the Occupational Health Service will indicate any medical restrictions applying to the search for an alternative job. Disability Discrimination issues must also be considered, please refer to the **Toolkit** for advice. The Redeployment Policy and Procedure will then be used in conjunction with this policy and where appropriate in relation to the Disability Discrimination Act.

Phased return to work from long term absence

- 17.0 Where employees are returning to work after a serious illness or injury it may be appropriate to consider a return on a phased basis to allow for a period of adjustment. Where this is likely the expectation is that prior to the return and as part of the maintaining contact process a referral to occupational health must be made. Occupational Health will advise on what duties and hours would be most appropriate under a phased return arrangement.
- 17.1 Where a phased return is agreed the employee should not receive less pay than if they remained on sick leave. In cases where payment for hours actually worked is in excess of the sickness pay then the payment for the hours actually worked will be made.
- 17.2 Before the return to work takes place the employee and manager must meet, and taking into account the occupational health advice, agree a return to work plan with timescales, duties and review mechanism. Please refer to the **Toolkit** section 9 for advice on timescales and procedural issues, including medical advice.

Termination of employment due to ill health in long term absence

- 18.0 The following applies where the Occupational Health Service has confirmed that the reason for the sickness absence is due to an underlying medical cause, and the condition is unlikely to improve in the foreseeable future and all redeployment and reasonable adjustments in relation to DDA have been fully explored without success. Therefore, the long-term absence will have been managed from its start and dialogue, meetings and a paper trail will be part of that process. Please refer to the **Toolkit** for further advice.

The effect of the Employments Rights Act 1996 is to require an employer to fully consider all reasonable alternatives before coming to a decision about whether or not to dismiss an employee on incapability grounds. In addition, for disabled employees the Disability Discrimination Act 1995, places a duty on employers to consider reasonable adjustments, and redeployment is considered under the Act as such an adjustment. These options must be fully explored before any decisions to terminate employment on ground of health are considered. Please refer to the **Toolkit** for guidance.

- 18.1 Where an employee has been on long-term absence and the conditions in 18.0 and 18.3 have been met then the manager is should consider whether or not the employee should have their employment terminated on grounds of ill-health. Having reached this stage and prior to an invitation to a meeting to consider this an occupational health report should be requested and the advice of Personnel must be sought.
- 18.2 The Courts and Tribunals have recognised that poor attendance by an employee may become a problem for employers. When the absences become damaging to service levels it may be necessary and reasonable to dismiss the employee concerned provided that the correct procedures are followed, the dismissal is likely to be fair.
- 18.3 When considering termination on ground of ill health employers need to take into account

the following when balancing their needs and the employees:

- The nature of the illness;
- The likelihood of it recurring or of some other illness arising;
- The length of the various absences and the periods between them;
- The need for the employer to have the work done;
- The impact of the absences on other employees;
- The importance of a personal assessment of the situation;
- The importance of consultation with the employee; and
- The importance of appropriate warnings of dismissal if there is no improvement.

18.4 On receipt of the Occupational Health report the manager will contact their Personnel Adviser to discuss the case and make arrangements for a hearing. Managers must not pursue consideration of either re-deployment or employment termination if they are still awaiting specialist medical advice following a previous meeting with the employee where arrangements to seek further advice were made.

18.5 Only where redeployment has been fully considered as an option and there are no reasonable adjustments that could be made to the work or work place should the following steps be taken:

1. The employee will be written to, advised of the OHS report and the manager's intentions and invited to a panel meeting to discuss the matter. The meeting will take place 7 working days after written notification to the employee where possible. A model letter is provided in the **Toolkit**.
2. A Panel will comprise two managers of appropriate seniority (to terminate employment) and a Personnel Adviser to the Panel. The employee has a right to be accompanied at this meeting. At the conclusion of the meeting the employee will be notified of the decision verbally. This will be confirmed in writing setting out their Appeal rights where a decision to terminate employment has been reached. An Appeal must be lodged within 14 working days of the date of the letter. Model letters are provided in the **Toolkit**.
3. If the employee wishes to appeal the decision to terminate employment, an appeal meeting will take place at which the employee has a right to be accompanied. The employee will be notified of the final decision at the Appeal meeting verbally and this will be confirmed in writing. The Appeal panel will consist of one senior manager not previously involved, a Councillor and a personnel advisor to them if they wish. Please refer to the **Toolkit** for guidance. Model letters are provided in the **Toolkit**.

III-health retirements

18.6 Where the County Council's Occupational Health Physician recommends

retirement on grounds of permanent ill health and the employee is a member of the LGPS and fulfils the criteria to access the pension scheme the procedure at 18.5 will be followed as this will be regarded as a termination and the employee has a statutory right in law for this procedure to take place. Where the employee wishes to waive this they are required to put this in writing.

Ill health terminations

- 18.7 An employee who is a member of the LGPS can have their employment terminated due to ill-health but be unable to access their pension where the Medical Adviser does not regard their condition as permanent. Regulation 97 of the Local Government Scheme (as amended) requires specific criteria to be met where employees are to be considered for retirement on the grounds of permanent incapacity. The Regulations state that **'the employee must be permanently incapable of discharging their duties of that employment or any other comparable employment with their employing authority because of ill-health or infirmity of mind or body'**.
- 18.8 Employees whose employment has been terminated due to ill health and are members of the LGPS and have not been granted retirement on the grounds of ill health, have a right to appeal to the Pensions Scheme after they have been dismissed, please refer to the **Toolkit** for guidance. The process for this is laid out in North Yorkshire Pension Fund Internal Disputes Resolution Procedure, Employee's Guide. Contact the Pensions Section at County Hall for information.
- 18.9 Where an employee acquires a physical or mental impairment which has a substantial, long-term (one year or more) adverse effect on their ability to carry out normal day to day activities they may have rights under the Disability Discrimination Act. In this circumstance a manager must consider the need for reasonable adjustments and should seek appropriate specialist advice before any action is considered or taken in relation to termination. Please refer to the **Toolkit** section 5 for advice.

Section Four: Attendance management during recruitment, selection and promotion

- 19.0 Attendance information may be discussed with external and internal candidates at interview as part of the Recruitment and Selection Procedure. References obtained during the Recruitment process should be used to confirm attendance levels of prospective candidates for a post.
- 19.1 Individual employee's sickness absence records can limit both employment and promotion opportunities subject to Disability Discrimination where disability related sickness will be discounted.
- 19.2 Pre-employment medicals for external candidates who have been offered appointments will be undertaken.
- 19.3 Managers must not, in any way, discriminate against disabled applicants. Disability does not, in itself, indicate ill health, or that the individual will have sickness absence problems, if employed. The Occupational Health Service can provide advice on reasonable adjustments for disabled employees.

Attendance management during induction

- 20.0 New employees require clear objectives and information about their new position in order to perform the job to the best of their ability. Managers must ensure timely communication on objectives and standards of performance through the induction process thus ensuring that employees can establish a positive attendance record from the outset.
- 20.1 Line managers should, as part of the induction process, explain to new employees:
- The Attendance Management Policy and its implications.
 - The triggers for action and that they will be included in the process whereby if their absence hit the triggers they will be invited to an Attendance Consultation Meeting and may have targets set to improve their attendance.
 - The absence reporting procedures and the officer/s they must contact in these circumstances.
- 20.2 Ensuring that employees are aware of the standards of performance, attendance and behaviour required of them should be reinforced throughout the probationary and supervisory periods. New employees should also be made aware of other leave provisions such as that are set out in the handbook:
- Annual leave
 - Flexi time leave
 - Work life balance and special leave provisions
 - Safety policies.

Other North Yorkshire County Council Policy and Procedure documents to be used in support of the attendance management

[Managing Stress and Wellbeing: A Toolkit for Managers and Employees](#)
[Redeployment Policy and Procedure](#)
[Manager's Overview to the Redeployment Policy and Procedure](#)
[Guidance on Changing to Flexible Working and Flexible Working Request Procedure](#)
[Guidance for Home Workers and Off-Site Workers](#)
[Working Compressed Hours Guidance](#)
[Employment of People with Disabilities: Notes of Guidance](#)
[Capability Policy and Procedure](#)
[Disciplinary Policy and Procedure](#)

The above documents and related information and leaflets may be accessed from the People Matters Website through the NYCC Intranet Home Page Link.

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REPORT TO: OVERVIEW AND SCRUTINY COMMITTEE

DATE: 6 AUGUST 2009

REPORTING OFFICER: HEAD OF TRANSFORMATION
CLARE SLATER

SUBJECT: ANNUAL REPORT 2008-9

WARDS AFFECTED: ALL

1.0 PURPOSE OF REPORT

1.1 To present the Ryedale District Council Annual Report for 2008-9 to the Committee.

2.0 RECOMMENDATIONS

2.1 It is recommended that:

- (i) the Committee agree the format and content of the Annual Report; and
- (ii) that Members note the achievements against the priorities of the Corporate Plan from 2006-9.

3.0 INTRODUCTION

3.1 The Council adopted the previous Corporate Plan in February 2006 for the period 2006-2009. The document attached at Annex A is presented to members as the Annual Report for 2008-9.

3.2 The Council is no longer under any legal obligation to publish an annual Best Value Performance Plan, however officers consider that it is good practice to present our performance and achievement to our stakeholders and communities on an annual basis.

4.0 REPORT

4.1 The Annual Report concludes the reporting in relation to the Corporate Plan for 2006-9. It also presents a summary of the ambitions of the Council and our clear strategic direction. This Annual Report is a vital element of the Councils Strategic Performance Management and contains the following information:

- A profile of Ryedale today
- Our Vision and Mission
- A year in the life of Ryedale as presented in the media
- Our Council priorities for 2009-13

- Achievement against the six priorities of the Corporate Plan 2006-9
- A summary of the New Performance Framework for public services
- National Indicators by Aim
- The summary statement of accounts
- Community Engagement opportunities and outcomes
- Workforce monitoring data
- Progress in achieving 'One Council for Everyone'
- Useful Contacts

4.2 The Annual Report will be published on the Council web site. The intended audience for the annual report is our communities, our partners and our workforce.

5.0 CONCLUSION

5.1 The Council can be proud of many of the achievements of the past three years and where we have areas for further improving the quality of life of people in Ryedale we have built this into the new Council Plan for 2009 -13.

Background Papers:

RDC Corporate Plan 2006-9

RDC Council Plan 2009-13

Imagine Ryedale... Sustainable Community Strategy

OFFICER CONTACT:

Please contact Clare Slater, Head of Transformation if you require any further information on the contents of this report. The officer can be contacted at Ryedale House, Malton, YO17 7HH or on 01653 600666 ext 347 or by email at clare.slater@ryedale.gov.uk

CORPORATE POLICY APPRAISAL FORM

Policy Context	Impact Assessment	Impact +ve -ve Neutral
Community Plan Themes	The Annual report details delivery against the Community Plan priorities	+ve
Corporate Objectives/Priorities	The annual report details delivery against the Corporate Plan priorities for 2006-9 and presents those agreed for 2009-13,	+ve
Service Priorities	Delivery of priorities at a service level are presented in the annual report	+ve
Financial	The Annual report fulfils some of the councils statutory requirements to report financial information to the public	+ve
Procurement Policies		Neutral
Asset Management Policies		Neutral
LA21 & Environment Charter	It is not proposed to print the annual report but to publish on the Council website	+ve
Community Safety	The report promotes the support available to individuals and communities	+ve
Equalities	The progress the council has made towards its goal of achieving level 3 of the Equality framework for local government is included in the report	+ve
E-Government	The report promotes our achievements in this area	+ve
Risk Assessment		Neutral
Estimated Timescale for achievement	The annual report has been prepared within the planned timescale in line with the delivery plan for Transformation.	+ve

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Annual Report

2008/09



Agenda Item 7

BRIDGEMAN
DISTRICT
COUNCIL



HOUSING &
EMPLOYMENT



DIVERSE
& VIBRANT



COMMUNITY
SAFETY &
YOUNG PEOPLE



ENVIRONMENT



TRANSPORT &
COMMUNICATIONS



ACCESSIBLE
SERVICES



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Introduction by Cllr Keith Knaggs, Leader of Ryedale District Council



Welcome to Ryedale District Council Annual Report 2008/9

This is a review of our work during the year and sets out how we have spent public money to deliver on our key services.

It also shows how we have worked with you to deliver effective and cost efficient services throughout the whole of Ryedale – funded by your council tax payments of just £2.77 a week.

Every year Ryedale District Council sets out its annual corporate priorities; these are part of longer-term strategic themes for the area.

This ensures our work is focused to have the biggest impact and most benefit for people living and working in the district.

Full details of the priorities for 2007/08 and our achievements in these areas can be found on pages x to x

The priorities are decided in partnership with the community. Each year we consult with Ryedale residents and key local community groups about our proposed priorities for the next year. This process is vital if we are to continue to ensure that we meet the needs and aspirations of the community we serve.

We also have evidence to show that the services we deliver are better than ever before. Every local authority is assessed against a set of central Government targets and the latest data shows that we have made important improvements in a number of different Areas which are also highlighted in this Annual Report.

Introduction by Janet Waggott, Chief Executive of Ryedale District Council



This report highlights just what the authority has achieved throughout the last financial year through the services we provide for you.

There is continued enthusiasm among our staff and we are determined to use this as a platform to launch further service improvements and ensure that Ryedale District Council can continue to improve the lives of those who live and work in the district.

I hope you find this report useful and welcome any comments on how our services can be improved to meet your needs



Ryedale nestles between York and the Heritage Coastline of North Yorkshire. The North York Moors form the northern border of the District and the Yorkshire Wolds the southern limit. Ryedale is an area of outstanding scenery, with beautiful villages and vibrant market towns. The area has a rich cultural heritage and enjoys the legacy of a long term, relatively stable social and industrial base. Agriculture and food production sit alongside modern and emerging technology based industries.

The area is relatively advantaged. Crime and disorder are low, environmental quality is high and employment is full and varied. We have few of the immediate problems that are of overriding significance in other locations. We do, however, have problems of disadvantage and change in areas and within sectors of the community; they are usually small-scale, so we can more readily respond to them. As far as we can, we seek to ensure that we maintain the quality of life in the District. Where we find disadvantage we take action to address it.

Population

We have 53,300 residents, approximately 50% male and 50% female. There are higher than the UK average people aged 45 and over and lower than the UK average in all age ranges under 45 years. There are 0.63% economically active black and ethnic minority residents and 11.83% economically active disabled people (2001 Census). Residents live in the market towns of Malton and Norton, Pickering, Kirkbymoorside and Helmsley; the remainder living in villages or in individual properties in the rural areas, which comprise 575 square miles of vale, moors and wolds.

Geography

To the north and west of the District lie the sparsely populated Cleveland Hills and the North York Moors - a third of the North York Moors National Park is within Ryedale. To the south are the fertile, gently undulating Yorkshire Wolds. The south-western corner of the District reaches the outskirts of the City of York and in the east the boundary is six miles from the North Sea.

A striking characteristic of Ryedale is the outstanding quality of its countryside, villages and market towns. This is reflected in the designation of the North York Moors National Park and the Howardian Hills Area of Outstanding Natural Beauty.

The finest examples of historic buildings and features in Ryedale are legally protected; there are 46 conservation areas, more than 2,000 listed buildings, 440 scheduled ancient monuments and eight registered historic parks and gardens.

Economy

Ryedale's economy is generally diverse and robust. We have a strong, and growing, small firms sector. The District has a well-balanced industrial structure and no segment predominates, although agricultural employment is relatively high. One of the striking features of the businesses in Ryedale is the presence of small-scale, high-technology producers, making goods ranging from aircraft and submarine products to microwave guides and computer systems. Ryedale has a significantly high level of businesses per population. We have 745 businesses per 10,000 resident adults, compared to an England average of 419 and 334 in York (2008).



Employment

Ryedale has low unemployment with 2.4% in April 2009. When we are ranked using the Index of Local Deprivation it is one of the least deprived areas in the country. But there are pockets of social and economic deprivation. Reasons for this include geographic isolation, reduction in local services and low income levels. Workers in Ryedale receive low average earnings and income with about 60% of the population earning less than the national average (2008).

Housing

For the January to March quarter of 2009 the average sale price for houses in Ryedale was £206,465 - a decrease of nearly 21% below the same quarter in 2008. 12% of our housing stock is social rented, compared to a national figure of 20%. About 100 houses were built in Ryedale in 2008-09 but the usual number is between 100 and 200. Few of the developments are 'estate' size even though most of Ryedale is within the travel to work area of the City of York. 40% of our homes are detached; few, 20%, are terraced properties. There is a significant private rented housing sector.



Transport and infrastructure

The main road network comprises the A64 (Leeds-York-Malton-Scarborough); the A170 (Thirsk-Helmsley-Pickering-Scarborough); and the A169 (Malton-Pickering-Whitby). Access to Ryedale along the A64 is good, but the road is heavily congested at peak holiday periods. Public road transport is good along the main roads. There is a main bus station next to the railway station in Malton/Norton. The Manchester-York-Malton-Scarborough railway line provides a link to the national rail network. People in the more remote rural areas, however, have limited access to public transport. This is a particular problem for people without access to private transport, particularly at weekends and evenings.

Internet access

The number of Ryedale households using the internet was 48% in 2001, and by 2006, 63% had broadband. (Acxiom data) All Ryedale telephone exchanges were upgraded to ADSL in 2005. NYCC's broadband Wide Area Network (WAN) serves some areas of the District.

Crime

Ryedale has one of the lowest crime rates in the country. This is evidenced by the majority (96%) of Ryedale residents feeling safe during the day and 72% feeling safe at night (Place Survey 2008). According to the latest crime figures, compared to the rest of North Yorkshire, the level of all crime types in Ryedale is below the average. During March, April and May 2009 the crime rate was 2.8 per 1,000 population or 149.7 total crimes – a reduction of 1.5% compared to the same three-month period last year (North Yorkshire Police Crimemapper). Although a low crime area overall, issues that have been highlighted as a problem are the number of people killed or seriously injured on the roads, alcohol harm, domestic abuse and all crime that affects quality of life such as criminal damage, violence and anti social behaviour.

Health

Ryedale has in general terms a healthy population compared to the UK as a whole. However, Ryedale has an ageing population. 36% of people are over 55 (2007) and this can generate specialised health care needs. We have more GPs per head of population than the national average. Malton has a community hospital, but people who need acute healthcare mainly go outside the District to Scarborough, York or Leeds. Life expectancy for boys born in 2005-2007 in Ryedale is 78.4 years, compared with a UK figure of 77.3 years, and for girls it's 82.3 years compared with 81.5 years.

In 2001, 7.8% of Ryedale people questioned report themselves to be in poor health, this compares to a national average of 9.3%. (General Health, 2001 Census)



Name: **Janet Waggott**
Job Title: Chief Executive
Service Unit: Corporate Management Team



Name: **Paul Cresswell**
Job Title: Corporate Director (s151)
Service Unit: Corporate Management Team



Name: **Marie-Ann Jackson**
Job Title: Corporate Director
Service Unit: Corporate Management Team



Name: **Trevor Anderson**
Job Title: Financial Services Manager
Service Unit: Head of Service



Name: **Gary Housden**
Job Title: Head of Planning
Service Unit: Senior Management Team



Name: **Phil Long**
Job Title: Head of Environmental Services
Service Unit: Senior Management Team



Name: **Julian Rudd**
Job Title: Head of Economy & Housing
Service Unit: Senior Management Team



Name: **Louise Sandall**
Job Title: Head of Organisational Development
Service Unit: Senior Management Team



Name: **Clare Slater**
Job Title: Head of Transformation
Service Unit: Senior Management Team



Name: **Anthony Winship**
Job Title: Head of Legal
Service Unit: Head of Service



Name: **Councillor Mr Keith Knaggs**

Leader of the Council

Party: Conservative

Ward: Ryedale South West



Name: **Councillor Mrs Dinah Keal**

Chairman of Council

Party: Liberal Democrat

Ward: Norton West



Name: **Councillor Mr Brian Cottam**

Chairman of Planning Committee

Party: Conservative

Ward: Derwent



Name: **Councillor Mrs Linda Cowling**

Chairman of Community Services Committee

Party: Conservative

Ward: Pickering West



Name: **Councillor Mrs Valerie Arnold**

Chairman of Licensing Committee

Party: Conservative

Ward: Kirkbymoorside



Name: **Councillor Elizabeth Shields**

Chairman of Overview & Scrutiny Committee

Party: Liberal Democrat

Ward: North East

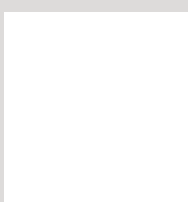


Name: **Councillor Mr Robert Wainwright**

Chairman of Policy & Resources Committee

Party: Independent

Ward: Hovingham



Name: **Mr Ian Hamilton**

Chairman of Standards Committee

Party:

STANDARDS COMMITTEE

- Promotes and maintains high standards of conduct by Councillors and co-opted Members.
- Assists Councillors and co-opted Members to observe the Members' Code of Conduct.
- Advises the Council on the adoption or revision of the Members' Code of Conduct.
- Advises the Council generally on matters relating to the ethical conduct of the Council and its Members.
- Monitors the operation of the Members' Code of Conduct.
- Advises, trains or arranges to train Councillors and co-opted Members on ethical matters including the Members' Code of Conduct.
- Grants dispensations to Councillors and co-opted Members from requirements relating to interests set out in the Members' Code of Conduct.
- Local Assessment, Review and Determination of complaints of breaches of the Members' Code of Conduct.

AUDIT COMMITTEE

- Considers and reports to the Council on the external auditor's management letter.
- Monitors compliance with audit, external inspectorate and Ombudsman reports
- Considers the statutory reports of the external auditor and to make any necessary arrangements with the external auditor for the provision of that service.
- Considers the reports of the internal auditor – North Yorkshire Audit Partnership.
- Monitors compliance with the Council's Local Code of Corporate Governance

OVERVIEW AND SCRUTINY COMMITTEE

- Carries out service reviews and make recommendations for improvement.
- Scrutinises value for money; council performance; customer satisfaction and complaints
- Reviews and scrutinises the decisions made by and the performance of the Policy and Resources Committee and the Community Service and Licensing Committee.
- Reviews and scrutinises the performance of other public bodies in the area and inviting reports from them by requesting them to address the Committee and local people about their activities and performance.
- Exercises the right to call-in, for reconsideration, certain decisions made, but not yet implemented by the Policy and Resources Committee and Community Services Committee.
- Members of the Overview & Scrutiny Committee also sit as the Audit Committee and have been given delegated authority to exercise the Audit Committee role for Ryedale District Council

PLANNING COMMITTEE

- Development Control function (determines planning applications)
- Planning Enforcement for Breach of Planning Control (unauthorised uses or development)
- Advertisement Control
- Protection of Trees
- Protection of Hedges
- Listed Building and Conservation Area Control

Standards Committee
5 Elected Members,
3 Parish Councillors
& 3 independent
members

Audit Committee
9 Members

Overview & Scrutiny Committee
9 Members

Policy and Resources Committee
10 Members

Council
30 Members

Policy &
Resources
Committee
Members

Community
Services
Committee
11 Members

Council
Members

Licensing
Committee
11 Members

Planning
Committee
16 Members

POLICY AND RESOURCES COMMITTEE

- Community Plan - responsible for the Council's contribution to the Ryedale Community Plan and leads the Council's work as a member of the Local Strategic Partnership.
- Corporate Plan - provides leadership and direction for the Council and to keep the Council's policies and objectives under review.
- Budgets – recommends the Annual Revenue Budget and the Capital Programme to the Council and monitors the Council's spending.
- Council Tax - considers and recommends to the Council the amount of Council Tax to be levied.
- Resources - deals with matters concerning finance, personnel, land, property and information and communications technology.
- Public Relations - formation, implementation, management and review of the Council's public relations and publicity.
- Emergency Planning.
- Health & Safety.
- Setting of Fees and Charges.
- Services:
 - a. planning policy;
 - b. the conservation of the built heritage of the District and the countryside, landscape and biodiversity of the District;
 - c. integrated transport;
 - d. the economic vitality and viability of the District's towns and villages;
 - e. tourism;
 - f. car and lorry parks, and public conveniences;
 - g. land charges and electoral arrangements.

COMMUNITY SERVICES COMMITTEE

- Housing Strategy, Housing Investment Programme;
- Housing standards, homelessness and advice, Housing Needs Register and Welfare Benefit;
- Private Sector Housing;
- Environmental Health and Licensing;
- Public Health and Pollution Issues;
- Waste Management including domestic and trade refuse collection and street cleansing;
- Land Drainage;
- Environmental Sustainability;
- Leisure, Sports and Recreation;
- Cultural Strategy;
- Community Development, Community Safety, Rural Access;
- Ryecare Area Services;
- Smokefree Legislation; and,
- Hackney Carriage and Private Hire Licences.

LICENSING COMMITTEE

To exercise the functions of the Council in relation to:-
LICENSING ACT 2003

- Determining applications for Premises Licences for:
 1. the retail sale of alcohol;
 2. the supply of alcohol by or on behalf of a club to or to the order of, a member of the club;
 3. the provision of regulated entertainment; and
 4. the provision of late night refreshment
 - Determining applications for Personal Licences
 - Temporary Event Licences
- GAMBLING ACT 2006

Imagine Ryedale...

The vision of local people for Ryedale in 2013 is of a place



Vibrant Communities

with vibrant communities where everyone is respected; where all generations have opportunities to express themselves; where diversity is welcomed and encouraged.

Strong Safe Communities

that is home to welcoming and familiar neighbourhoods, where people and friendships are valued. Community spirit is strong, underpinned by security and safety. There is mutual trust between local people and the organisations that exist to help, support and serve them.

Access and Communication

where it is easy to access any part of Ryedale, and all other places, for work and play. Communication is dealt with in flexible and innovative ways

Health and wellbeing

where people enjoy life, work and leisure at their own pace. Freed from stress, they can take care of themselves and others.



Landscape and Environment

which is a cherished mixture of towns, villages and landscapes. It is a peaceful sanctuary, not crowded or polluted.

Developing Opportunities

Where everyone is involved in and can influence planning for the community; the places where they live and work; increasing opportunities to meet, learn and have fun.

The Council shares this vision with the communities of Ryedale and is working with partners from the public private and voluntary and community sectors to make this vision a reality.

The Councils vision for Ryedale is of

‘a place where all residents can enjoy a good quality of life, with strong, prosperous and welcoming communities’

The Mission of the Council is

‘working with you to make a difference’



Museum takes on new look A POPULAR Ryedale attraction picked itself up after suffering the worst flooding in its 40 year history. The Beck Isle Museum of Rural Life in Pickering has used the disaster as an opportunity to revamp many of its displays, introduce new ones and give its exhibitions a fresh look, supported by Ryedale District Council and local community groups.



Have a Say on Future of your Village. What makes Ampleforth special – and how can it be kept that way? That's the question local people were asked at an open meeting in the village. The draft Ampleforth Conservation Area Assessment and Management Plan has been drawn up by Ryedale District Council and the North York Moors National Park Authority following consultation with residents. The plan will be a blueprint for the future of the village.



Castle Gardens Open Day new public park in Malton opened its gates. The garden features formal and woodland footpaths, open-air classrooms, seating and an area that will be used for community events, open air theatre and music. It is classed as a scheduled ancient monument of national significance because the grounds are remains of a Roman Fort, Malton Castle and a Jacobean Prodigy House.

April 2008

May 2008

June 2008

July 2008

August 2008

September 2008

Community Safety Plan Launched RYEDALE'S community safety partnership aims to make crime history in the district. Safer Ryedale launched its new Partnership Plan outlining its work priorities for the next three years. Priorities for the next three years are:

- Community priorities
- Safer Roads
- Alcohol Harm Reduction
- Domestic Abuse



Success of smoking ban Environmental health officers from Ryedale District Council made 936 inspections from July 2007 to March and have found a "very high level of compliance". "Our experience, from inspections and compliance-building work has been that this is a popular law and is embraced by businesses and general public alike.



Ryedale Housing Crisis High house prices and low wages has left Ryedale facing the "most severe housing crisis in the country", according to a report. The National Housing Federation (NHF) has revealed the average house price (£239,051) throughout the district is more than 15 times the average wage (£15,262) – easily the worst in Yorkshire and Humberside. The council's drive to provide affordable housing for rent or buy has seen it recently approve 57 affordable units, secure £5.6 million from Yorkshire Housing to provide 107 more homes.





Cash Boost for Ryedale Folk Museum An ambitious £2.3 million project to expand Ryedale Folk Museum has been handed a £250,000 cash boost. Ryedale District Council has vowed to support plans to house an almost priceless collection – created by brothers Edward and Richard Harrison - of more than 10,000 artefacts which, it is anticipated, will become a major visitor attraction and an important learning centre.



Investment in Malton Town Centre Malton benefited from a £350,000 cash boost when Ryedale District Council agreed to match a £138,000 grant from Yorkshire Forward and a further £27,000 from the county council and third parties to fund improvements to the town centre. The council will find its share of the £185,000 from its capital programme. The money will be spent on a package of improvements including signs and information boards, access routes and paving and further enhancements to yards and ginnels.



Help for Business in economic downturn Businesses in Ryedale battling against the recession are given a lifeline by the district council in a two-pronged plan. The council has allocated £100 resources to help start-up businesses and to aid established enterprises by using money from reserves at Ryedale House and is working with Business Link to promote the scheme.

October 2008

November 2008

December 2008

January 2009

February 2009

March 2009

Third of Residents in Fuel Poverty One in three private households in Ryedale live in fuel poverty. That represents 6,694 households, according to a survey carried out for Ryedale District Council. The survey stresses that fuel poverty in Malton and Norton is relatively low, reflecting the provision of mains gas and the fact there are more terraced and new houses. Although fuel poverty occurs across the district it is concentrated in the rural areas and villages and many people who live in older housing



Funding for CAB in Credit Crunch Ryedale Citizens Advice Bureau (CAB) received £9,500 from Ryedale District Council to enable it to maintain its money advice services. CAB is based in Community House, Malton, District councillors unanimously voted to release the funding at a meeting of full council. The demand for the services of the Ryedale CAB has already seen an increase with the current difficult economic conditions. CAB helps people resolve their legal, money and other problems by providing free, independent and confidential advice.



Play rangers secure £200k Children were able to enjoy a range of play activities across Ryedale over Easter, after council chiefs secured £200,000 in lottery funding. The Ryedale Play Rangers organise sports and games encouraging youngsters to make the most of what each site offers, including the local wildlife. The Ryedale Play Rangers programme was launched last summer. Lottery Fund cash in 2007. Photo of playrangers (JB)





Aim 1 - To meet housing needs in the Ryedale District Council area

Strategic Objective 1: To change and add to housing stock to meet the local housing needs

Strategic Objective 2: To support people to access a suitable home or remain in an existing home

We will achieve this through the provision of additional affordable and specialist homes and the adaptation of existing homes and by supporting people to access a suitable home or remain in an existing home with support services provided.

Our priority activities will include:

- Identifying sufficient housing sites to meet anticipated future needs
- providing additional affordable and specialist homes
- bringing empty homes back into use
- providing a range of housing advice and support
- trying to prevent homelessness through the services of the Housing Options Team
- assisting households facing mortgage difficulties
- reducing fuel poverty particularly for vulnerable households



Aim 2 - To create the conditions for economic success in Ryedale

Strategic Objective 3: Place of opportunity – to have the economic structure and supporting infrastructure in place

Strategic Objective 4: Opportunity for people – increasing wage and skills levels

We will do this through the development of sites and premises, physical infrastructure and business support and increasing levels of wages and skills in the workforce.

Our priority activities will include:

- Identifying sufficient sites for industrial, business and retail use
- Improving the vitality of Malton as a retail centre
- Improving the infrastructure and strengthening the role of the market towns
- Serving the needs of local businesses in a changing economic climate
- Helping people to acquire the skill they need to access employment opportunities
- Paying the right benefit to the right people at the right time



Aim 3 - To have a high quality, clean and sustainable environment

Strategic Objective 5: Reducing waste and CO2 emissions

Strategic Objective 6: Planning to adapt to climate change

Strategic Objective 7: To maintain the quality of our local environment

We will achieve this through the reduction of CO2 emissions and planning to adapt to climate change and improving the quality of our local environment

Our priority activities will include:

- Reducing levels of CO2 emissions from our own operations
- Increasing the rate of recycling and reducing the amount of waste collected
- Reducing the amount of trade waste sent to landfill sites
- Designing for the environment
- Ensuring that future developments are in the right locations
- Avoid inappropriate development in flood risk areas and managing the risk of future flooding
- Improving street and environmental cleanliness



Aim 4 - To help all residents to achieve a healthy weight by encouraging an active lifestyle, in communities where everyone feels welcome and safe

Strategic Objective 8: Safe and Healthy Villages and Towns

We want to encourage active lifestyles in communities where everyone feels welcome and safe and will achieve this through our support for safe and healthy villages and towns

Our priority activities will include:

- Minimising the effects of crime and anti-social behaviour on communities within Ryedale
- Improving perceptions of local crime levels.
- Developing a vision towards the legacy of the 2012 Olympics
- Working to increase participation in and satisfaction with the sport, active recreation
- Improving the cultural offer in Ryedale



Aim 5: To transform Ryedale District Council

Strategic Objective 9: To know our communities and meet their needs

Strategic Objective 10: To develop the leadership, capacity and capability to deliver future improvements

We want to transform Ryedale District Council to ensuring we understand our communities and that their needs are met. We will achieve this by delivering outcomes that are important to local people and developing the leadership, capacity and capability of the Council to deliver improvements in priority areas.

Our priority activities will include:

- Monitoring of service users and levels of customer satisfaction
- Supporting service improvement to meet the needs of all – excellence and diversity
- Achieving the vision of ‘A Plan for Every Parish’
- Being recognised as an employer of choice
- Promoting and supporting democracy, encouraging participation in civic life
- Delivering the Councils’ Efficiency Programme.

Why have we chosen these priorities?

Housing Need

In Ryedale there is an imbalance between market house prices and the amount that many local people can afford to pay for a home. The housing affordability 'gap' in Ryedale is one of the worst in the country. This is a result of low wage levels and high house prices. Ryedale has an increasingly ageing population and as people get older their housing needs often change, with an increased level of support from services and access to specialised housing provision. People want to live in Ryedale and believe it is a good place to live where they can enjoy a high quality of life. Affordable housing includes social rented and intermediate housing provided to specified eligible households whose needs are not met in the market.

Economic Success

The Ryedale economy is currently over reliant on traditional industries that are associated with low pay. There is a need to strengthen and diversify Ryedale's economy. The conditions need to be created in Ryedale to support the development of opportunities within sectors that are generally better paid than the current low average income levels. This would then provide opportunities for those with higher and specialist skill levels and additionally the potential to employ younger people who often choose to leave the area to access better opportunities. Ryedale continues to experience one of the largest affordability gaps between average income and house price in the Country.

Environment

A striking characteristic of Ryedale is the outstanding quality of its countryside, villages and market towns. This is reflected in the designation of the North York Moors National Park and the Howardian Hills Area of Outstanding Natural Beauty. The finest examples of historic buildings and features in Ryedale are legally protected; there are 46 conservation areas, more than 2,000 listed buildings, 440 scheduled ancient monuments and eight registered historic parks and gardens. Ryedale District is very sparsely populated relative to the rest of England, being ranked 7th, with over

half of the population living in villages, hamlets and isolated dwellings. Ryedale possesses a very high quality environment and we intend to maintain this in future years.

Active Safe Communities

Ryedale has a network of community facilities for recreation and leisure activities which are all owned and managed by local communities for their own use, and that of other residents and visitors. The council supports existing and new facilities through a programme of grant aid. The health of people in Ryedale is generally better than the average in England. The health of children and young people is generally in line with the average for England, apart from the percentage of children classified as obese, which is higher than average for schoolchildren in reception year. Ryedale has a lower rate of people claiming incapacity benefits for mental illness and a lower rate of hospital stays related to alcohol compared with the England averages. However, it remains the area with the highest rate for road injuries and deaths in England. Ryedale has one of the lowest crime rates in the country and much work is undertaken to maintain this level and to try and gain improvements. The priorities for Safer Ryedale – the Community Safety Partnership are safer roads, reducing levels of domestic violence and targeting all behaviour that is detrimental to the community and reduces the quality of life for people. Examples of such problems include burglary, criminal damage, and youth related behaviour, anti social behaviour alcohol and substance misuse.

Transformation

We need to ensure that we understand our communities and deliver improvement in the areas which will make the greatest difference in the quality of life of people in our communities. We need also to target our resources on those who are in the greatest need, whilst ensuring that we deliver high quality services which represent good value for money for the taxpayer. Because of the rural nature of Ryedale inequality and disadvantage can occur in small pockets within any community. We need therefore to be innovative in the way we engage our communities. Ryedale is fully parished and levels of turnout at elections is consistently high, we will continue to support local democracy and encourage participation in civic life.

What did our communities say?

The Place Survey 2008

Following the completion of the place survey, a by over 1300 residents, it became clear that of those things for which the Council has direct responsibility or influence;

- affordable decent housing
- shopping facilities
- job prospects
- clean streets
- wage levels and the cost of living

were identified as the things most needing improving.

The full report and analysis of the play survey result visit www.ryedale.gov.uk

A Plan for Every Parish

The issues raised most frequently in Parish Plans are concerns over traffic and road safety, improvements and maintenance of the local environment, community facilities and communication. All the parish plans published by communities in Ryedale are available at www.ryedale.gov.uk

Raising our Game

When we asked a range of people, including adults with learning disabilities, people with caring responsibilities, older people and younger people, they told us that affordable housing and choice of housing was a priority for the area. People acknowledged that in order to be able to access housing they needed decent employment. People also wanted to shop locally but the market towns, particularly Malton need to be rejuvenated and the range of shops improved. Older people prioritised being part of a community and accessibility of local facilities and services most highly. Adults with learning disabilities would like more choice and access to independent living with some support services particularly advocacy support. Younger people were concerned about future housing options and job prospects and whilst acknowledging their concerns for the



environment felt that this was a national issue upon which we could make some impact locally through individual action.

They would like more opportunities for social activities and help to access these. All groups wanted us to improve our communications, to make information clear and to the point. This would help everyone in our communities to access our services and ensure they are receiving all those services for which they are the intended beneficiary and benefits to which they are entitled. This would also help to improve the accessibility of a wider range of services. Ryedale Parish Councils prioritised Housing and Economy and also requested more clarity in council communications.

The full report on our community engagement can be found on the Council website and is entitled 'Raising Our Game'. 'If you live in the outlying villages life gets more difficult than in the towns as you get older'. Ryedale Carers 'Employment opens the door' 'Housing and jobs are linked and then community comes from these' Adults with Learning Disabilities 'This group feels well housed already but need community' Older People 'Economy and Housing need more resource as they are currently under threat' Special Families We have undertaken a wide ranging and inclusive programme of community engagement in identifying our priorities for the next 4 years, as well as revisiting our earlier engagement activity. We will review our plan every year and will check with our communities that we are delivering our commitments and that they are making a difference.



Aim 1 To have opportunity and choice of housing and employment for all

WE WANTED TO:

- increase the availability of affordable housing reduce the affordability
- improve access to the private sector housing stock
- support the maintenance and improvement of private sector housing stock
- prevent homelessness
- improve the range of employment opportunities available in Ryedale
- support market town regeneration

AND MADE A COMMITMENT TO:

- Provide an average of 75 affordable housing units every year for the next 5 years.
- Increase annually through direct Council intervention, the number and range of employment opportunities available in Ryedale.
- Implement at least one economic regeneration project per Market Town - as identified in the individual town business plans - until 2009.



WE HAVE DELIVERED

Ryedale made excellent progress in the first three quarters of 2008/9 towards meeting the objective of providing its target of 75 additional affordable and specialist homes, with 57 units of affordable accommodation approved by the end of December 2008. However, the impact of the economic downturn became apparent in the New Year with the major developers ceasing to build further new units on sites that were already under construction or with planning permission.

The work of the Council's Rural Housing Enabler on Rural Exception sites continues to assist provision of sites in conjunction with Parish Councils, with detailed local housing needs surveys being carried out to establish the level of need in specific villages and the identification of possible exception sites for its provision. Detailed planning applications for 2 schemes were submitted, in Nawton Beadlam (10 units) and in Ampleforth (8 units). Both schemes

were authorised for approval by Planning Committee subject to further details and completion of a Section 106 agreement to secure their 'affordable' occupancy.

The additional care unit under construction at Beverley Road, Norton is well advanced and is on target with occupation due to take place in September 2009. The scheme will provide 52 new extra care units.

The Council is currently reviewing its Planning Policy through the Local Development Framework consulting on producing a new Core Strategy Document and a Facilitating Development Plan Document – starting with a major public consultation exercise in June 2009. Work is well advanced on the background evidence required for the LDF process - the Strategic Housing Land Assessment (SHLAA) has been completed. It is anticipated that the Councils criteria for negotiating affordable housing will be reviewed as part of the LDF process.

Presentations have been made to Councillors about the activities of the Rural Housing Enabler and about the results of the Housing Conditions survey,

which has provided the committee with useful and important information about both the condition of the existing housing stock and fuel poverty. The Council continues to seek to combat fuel poverty through the awarding of energy efficiency grants. A total of 120 have been awarded this year to a value of £111,550.

A range of housing initiatives have been developed over the year including a review of Disabled Facilities Grants and the Private Sector Renewal Strategy. External grant of approx £1m over 3 years has been secured towards delivery of these initiatives. 50 Home Repair grants have been completed this year to a total value of £180,938 and approved 1 new Home Appreciation Loans with a second pending.

The commitment to increase the number and range of employment opportunities depended upon the delivery of the extension to Thornton Road Industrial Estate and the development of the Enterprise Centre at Eden Park, Old Malton. These two projects have not been delivered in the proposed time period. The timescale for the new Local Development Framework is for adoption by the end of 2011, and given that this will confirm new employment opportunities in Malton and beyond this has become the most significant enabling strategy for the Council.

scheduled for completion by 2009:

Helmsley

Mixed use development site master plan completed for consideration through the LDF process Old Meeting House Arts Centre car park improvements, Sports and Community Centre Feasibility completed and moving towards funding bids Old Railway Line conservation area completed.

Kirkbymoorside

Community Information and Training Facility to be opened in July 2009. Town Centre Improvements include hanging baskets, A170 roundabout improvements and Mosaics for Ryedale View play area.

Malton and Norton

Castle Gardens project underway, grant awarded to Malton Community Sports Centre Project, and physical improvements in Malton town centre completed. Significant project development and feasibility work being undertaken including the Milton Rooms, public realm improvements and the Conservation Area Partnership Scheme.

Pickering

Castle paths project completed. New sites for development in Pickering are being researched.

The following regeneration projects are underway and

Aim: 1. Housing and Employment

PI Code	Short Name	2006/07	2007/08	2008/09	On Target	Long Term Trend Arrow
		Value	Value	Value		
BV 64	No of private sector vacant dwellings that are returned into occupation or demolished	4.00	1.00	1.00		
LPI 53	Average household earnings in Ryedale	£18787	£20088	£33173		
LPI 54	Share of total regional employment. (was LPI 54)	1.17%	1.22%	No data		
LPI 55a	No. of community based projects implemented in Helmsley	0	4	1		
LPI 55b	No. of community based projects implemented in Kirkbymoorside	0	3	1		
LPI 55c	No. of community based projects implemented in Malton & Norton	0	0	5		
LPI 55d	No. of community based projects implemented in Pickering	0	1	3		
LPI 45	Number of affordable homes delivered (gross)	23	53	57		



Aim 2

To have diverse and vibrant communities

WE WANTED TO:

- Increase participation in, and satisfaction with, cultural activities.
- Increase participation in, and satisfaction with, sports activities.
- Promote positive attitudes towards disability
- Target community grants at needs identified in the community and corporate plans

AND MADE A COMMITMENT TO:

- Increase participation in, and satisfaction with, sports and cultural activities by 25% by 2009
- Promote positive attitudes towards disability groups by ensuring that 100% of council public buildings comply with the Disability Discrimination Act by 2009.
- Target 90% of community grants at needs identified in the community and corporate plans by 2009.



WE HAVE DELIVERED

A £1.5 million grant was awarded to a community partnership to develop a sports facility at Malton School, and grant provision of £500,000 has been made for the redevelopment of sports facilities in Helmsley.

Grant provision of £250,000 has been made towards a major project by the Ryedale Folk Museum to house a nationally important collection of artefacts.

The replacement of equipment at all council supported leisure facilities is on schedule and the community sport network has undertaken a volunteer development programme, summer sports festival support programme for volunteer coaches and provided activity equipment grants. Between 2004 and 2007 satisfaction levels with sports and leisure facilities had increased by 4%. But have fallen again and addressing this is a priority for the Council for the next 4 years.

Access improvements to all the Council's

facilities are being implemented with a programme of £30,000 made available, with all Council owned or managed public buildings scheduled to be fully compliant with the DDA by March 2009.

The Council has recently revised its ambitious target to achieve level 3 of the Equality Standard for Local Government to March 2010 as a result of an audit of our progress. This is managed through the Equality and Diversity Improvement Plan.

The Council's criteria for awarding grants to the voluntary and community sectors have been revised to deliver the corporate plan and community plan priorities. The programme of parish planning supported throughout the District has enabled the Council to target grants at areas of identified need. Funding for 3 years has been established for all organisations with guaranteed funding in place.



CASE STUDY: Harrison Collection

The Ryedale Folk Museum in Hutton le Hole has acquired the Harrison Collection of more than 10,000 artefacts, which has been valued in excess of £1million and is described as having major 'national significance'. Brothers Edward and Richard Harrison who grew up near the museum built up the collection and staff are now in the process of raising more than £2million to house the artefacts. The brothers wanted the collection to come to Folk Museum because it was their local museum. The museum runs on a tiny staff of just seven full time and four part timers and is supported by a team of 150 volunteers. The museum covers everything from the Iron Age when the first folk settled in Ryedale right through to the 1950s. The museum is hoping that work will start in September and an agreement has been reached to buy the adjacent Barn Hotel which will become a gallery. The land surrounding it will be used to build a new home for the Harrison collection and a new learning centre. The curator said: "Although the collection will shift the value of the museum our ethos and values will not change and we will remain a local museum. We put learning at the centre of the museum and the fantastic learning space will get people to engage with the collection and learn more about it."

Aim: 2. Diverse & vibrant communities

PI Code	Short Name	2006/07	2007/08	2008/09	On Target	Long Term Trend Arrow
		Value	Value	Value		
BV 156	Buildings Accessible to People with a Disability	100.00%	100.00%	100.00%		
BV 119c	Residents satisfied with museums and galleries %	50%	No data	41.4%		
BV 170	Number of visits/usages of museums per 1000 popn	207	106	No data		
LPI 56	% Community grants targeted at needs identified in community plan	100%	100%	100%		
LPI 11a	Public conveniences with disabled facilities	8	10	10		
BV 119a	% Residents satisfied with sports/leisure facilities	56%	No data	40%		
LPI 27a	Swimming pools and sports centres no of visits per 1000 population	3431	3472	3394		
BV 2a	Equality Standard for Local Government	Level 2	Level 2	Level 2		



Aim 3 To have safe and inclusive communities where young people can realise their ambition and potential

WE WANTED TO:

- Ensure Ryedale continues to be a low crime area.
- Reduce incidents of crime and address the fear of crime in the district through continued partnership working; and in particular:
 - - to reduce the number of violent incidents
 - - to reduce anti-social behaviour and nuisance
- Help young people to realise their ambition and potential.
- Safeguard children and improve services for young people in Ryedale.



WE HAVE DELIVERED:

2008 opened with the adoption of the new 3 year Community Safety Partnership Plan which has identified 4 new strategic priorities for Ryedale for 2008-11, as a result of extensive community consultation and informed by the Joint Strategic Impact Assessment.

The Priorities for the next three years are:

Community Priorities

To reduce all crime that makes neighbourhoods not such nice places to be, e.g. criminal damage and graffiti, anti social behaviour and drug related crime.

Safer Roads

To reduce the number of people killed or seriously injured on the roads in Ryedale

Alcohol Harm Reduction

To reduce all crime relating to the consumption of alcohol e.g. criminal damage, violence and anti social behaviour.

Domestic Abuse

To raise awareness of this type of crime and reduce its prevalence in the community.

Hotspot locations for violent crime have been identified and problem solving plans put into place.

AND MADE A COMMITMENT TO:

- In partnership with others, reduce violence by 7% from 407 incidents to 380 incidents by March 2008.
- In partnership with others, reduce anti-social behaviour and nuisance in the top 5 categories by 10% by March 2008.
- Develop and provide services that enable young people to realise their ambition and potential.

The Council's licensing policy has been implemented with Police and Council Officers meeting each week to discuss any problems occurring from the previous week. Three mobile CCTV cameras have been purchased and deployed in the repeat locations for violent offences.

Projects implemented to reduce anti-social behaviour and nuisance include; the Prevent and Deter scheme, Parent Link worker, Dry Bar. A system has been established for recording complaints to the ASB coordinator. Daily figures are being obtained from the Police and contact is continued with vulnerable groups.

The work with our Black and Ethnic Minority communities is progressing through Ryedale Voluntary Action and Ryedale Together. This work is also being supported through the Ryedale Strategic Partnership and has been particularly focused on supporting migrant workers in the community.

A Youth Officer was appointed and has developed "Our Lives Our Plans" which was adopted by the Council and launched at a youth event in August 2007. A steering group is now prioritising implementation of this plan and a Ryedale Youth Council is being developed.



Case Study: Operation Siren

A crackdown on speeding in Helmsley caught a total of 27 speeders – 26 of whom opted to take part in Operation Siren and avoid a fine and points on their license. Instead, they chose to watch a video featuring the results of an accident caused by speeding and hearing from fire and police officers. In doing so, it is hoped they will keep to the speed limit in the future. The A170 at Helmsley was chosen as the location for the speed cameras because of problems in the past with motorists breaking the limit. Operation Siren is about education and is offered to drivers who are only slightly over the limit and is co-ordinated through the Safer Ryedale Partnership and is a multi agency event with support from the Police, Fire Service and Ryedale District Council.

Case Study: Young Community Volunteers

The YCV project, coordinated through Safer Ryedale, gives young people between the ages of 11 and 17 an opportunity to get involved in fun, exciting projects to benefit Ryedale throughout the school holidays. They form small teams and decide on a project to benefit their community, and carry it out with the help of an adult mentor. Over the past two years there has been a fabulous array of inventive and worthwhile projects undertaken by young people in Ryedale. There has been a Lady Lumley’s Got Talent Contest organised to raise money for the Encephalitis Society, The Blooming Diggers, who cleared up a snicket in the village of Ebberston. Another highlight has been from the team ‘Because Lives Good’ who raised £300 for the Thornton-le-Dale Play Area by clearing undergrowth and debris, holding stalls and litter picking. One of the main aims of the project is to raise self-esteem and confidence in young people and promote good citizenship by providing positive activity in the local community. This year’s winning team was the ‘Midget Gems’, who cleaned up Lakeside Gardens in Norton and raised money to produce a DVD to raise awareness about littering, water safety and anti-social behaviour.

Aim: 3. Community Safety & Young People

PI Code	Short Name	2006/07	2007/08	2008/09	On Target	Long Term Trend Arrow
		Value	Value	Value		
LPI 57	Number of incidents of anti social behaviour	No data	No data	No data	?	?
LPI 58a	Number of ASBOs issued	2	7	No data	?	?
LPI 58b	Number of Acceptable Behaviour Contracts issued	No data	18	No data	?	?
LPI 59	Net migration of 16-24 year olds as a proportion of population.	-0.39%	-0.39%	No data	●	▬
BV 127	Violent Crime per 1,000 Population Indicator discontinued replaced with NI15 Serious violent crime per 1,000 population in 2008/09.	8.2	7.5	0.29	✓	↓

Aim 4 To have a clean and sustainable built and natural environment

WE WANTED TO:

- Increase the amount of waste recycled in district.
- Reduce the amount of waste being sent to landfill.
- Reduce CO2 emissions resulting from our operations by 25% on 2004 levels by 2010
- Improve the cleanliness of Council owned land

AND MADE A COMMITMENT TO:

- To recycle 35% of all waste by 2007 and 40% by the end of 2009 and to reduce the KG of residual waste collected per household from 685kg to 525kg by 2009.
- To reduce CO2 emissions resulting from our operations by 25% on 2004 levels by 2010.
- To ensure that less than 10% of all relevant land over which the Council has responsibility have combined deposits of litter and detritus that fall below acceptable levels by 2009.



AND WE HAVE DELIVERED:

Performance has improved regarding the percentage of waste recycled, increasing to an estimated 53.1% for 2008/9.

Ryedale District Council has made excellent progress towards achieving the 2020 Government target of 225kg of residual waste, having already exceeded the 2020 government 50% recycling target some years ago. RDC remains one of the top performing recyclers in the UK.

New initiatives have been undertaken with the role out of a trade recycling round and the development of a pilot scheme regarding recycling and re-use of organic street cleansing waste, developed in conjunction with a local farmer. The additional sweeping undertaken as a result of this innovative scheme has helped to improve cleanliness standards in Ryedale from 6.5% to 4.5% enhanced by three caretaker schemes jointly funded by Ryedale and the National Park.

These have improved the co-ordination of cleansing operations and facilitated the sweeping of hard to reach areas.

A programme of planned actions to reduce Co2 emissions encompassed a wide variety of Energy Efficiency initiatives such as enhanced insulation and building fabric improvements, pool covers and improvements to electrical distribution at the swimming pools.

Over 50% of the HGV fleet are equipped with the latest Euro 5 engines for enhanced efficiency and reduced emissions, with light vehicles running on LPG. Other Co2 reduction projects are planned regarding vehicle replacements and energy efficiency initiatives including a biomass boiler at Ryedale Pool and a new energy efficient boilers at both Ryedale House and Derwent Pool.



Case Studies:

Three villages which lie in both the North York Moors National Park and Ryedale District, have an extra pair of hands helping to keep things looking neat and tidy thanks to funding from the National Park Authority and Ryedale District Council. Ampleforth, Helmsley and Thornton-le-Dale are reaping the benefits of a village caretaker who reports to the relevant parish or town council and carry out a range of work including grass cutting, litter clearance, maintenance of village structures such as signs and fences and the clearance of watercourses and road gulleys. In Thornton Dale the caretaker, who lives in the village, is employed by the parish council for 15 hours a week and, in partnership with Ryedale Council's commercial services staff, and works to ensure the village looks its best. RDC offers training in manual handling, equipment and collection of detritus.

Benefits achieved so far in partnership with the Thornton Dale Caretaker include:

- Caretaker clearing parking on roadside on the days the RDC street sweeper is visiting to enable a thorough clean
- Caretaker prepares for gully cleaning again in anticipation of RDC equipment arriving
- Training in areas such as manual handling, shared use of larger equipment
- RDC takes the detritus resulting from the cleaning of the beck away for composting

The original four caretakers are funded by the National Park Authority and the relevant parish council with contributions (in some instances) from local businesses and North Yorkshire County Council's Highways department. The three latest caretakers are being funded under a new arrangement where the grant is provided in partnership with Ryedale District Council with each Authority providing 50% of the grant, and match funding of 50% provided by the parish council from the precept.

Aim: 4. Clean & sustainable built & natural environment

PI Code	Short Name	2006/07	2007/08	2008/09	On Target	Long Term Trend Arrow
		Value	Value	Value		
NI 189 LAA	Flood and coastal erosion risk management	No data	No data	No data		
NI 196	Improved street and environmental cleanliness-Fly tipping (was BV 199d)	3	2	No data		
BV 82a(i)	% of Household Waste Recycled	20.13%	20.41%	18.47%		
BV 82b(ii)	% of Household Waste Composted	30.88%	31.14%	34.63%		
LPI 62	Improvement in the PPG17 style audit of Public Open Space quality	0%	0%	0%		

Aim 5 To have effective and integrated communication and transport networks.

WE WANTED TO:

- In partnership with others, to reduce the number of HGV's travelling through Malton & Norton by 50% (based on 2005 levels) by 2012.
- To focus new developments in locations that are accessible by a variety of modes of transport, in particular public transport. To enable, through grant aid, an increase in the number of journeys made on community transport services.



AND MADE A COMMITMENT TO:

- In partnership with others, to reduce the number of HGVs travelling through Malton and Norton by 50% (based on 2004 levels) by 2012.
- To focus new developments in locations accessible by a variety of modes of transport, in particular by public transport.
- To enable, through grant aid, an increase in the number of journeys made on community transport services.



AND HAVE DELIVERED:

Plans are progressing well to improve the Brambling Fields junction of the A64 to allow eastbound traffic to exit, and to improve the junction at Vivis Lane Pickering to reduce congestion significantly. RDC has campaigned alongside local residents and businesses for many years in an effort to ease the traffic congestion and pollution in Malton and Norton Town Centres. North Yorkshire County Council has allocated £2.8 million of funding from the Regional transport Board towards the upgrade of the Brambling Fields Junction and £1million to upgrade the A170 junction in Pickering.

A Beverley Road – Scarborough Road link is subject to further consideration of sites through the emerging LDF, as is a possible Broughton Road – A64 junction and a new access road to Norton via the Woolgrowers site.

These improvements, in particular the Brambling Fields upgrade (with associated traffic management measures in the town centre), would deliver a significant reduction on the number of HGVs travelling through Malton. There has been no further survey work done by NYCC of the number of HGVs since 2003.

It is anticipated that the new Core Strategy and facilitating development document will both be adopted

by mid 2011, and this will incorporate the requirements to deliver the infrastructure to support the sustainable development of our communities.

Financial support to Ryecat continues, including extending the free bus pass scheme for use on Dial a Ride minibuses. Growth in Ryecat activities continues in the car scheme, Ring & Ride, contracted education transport and Wheels 2 Work. The one exception being Rural Miles minibus brokerage where activity is considerably lower than previous years, a possible explanation for this is that there may be less funding available to community groups due to the current economic situation. The Ring & Ride is well established and is on target to exceed predicted passenger loadings this year by 20%, the service is operating to capacity. Ryecat have been operating a second service between Ampleforth, Gilling East and Helmsley on six days a week since June 2008 providing a vital link for those communities into the market town and connecting to mainstream public transport services.

The Wheels 2 Work scheme loans mopeds to provide transport for young people living in rural areas to access employment, training and further education. The scheme has been operating across Ryedale, Scarborough and Selby districts since 2001.



Case Study: A64 Junction Improvements

Officers and members of Ryedale District Council have been lobbying the government since 1995 to provide financial support for improvements to the junction on the A64. Ryedale has the highest number of road casualties per capita in England (ref YHPHO profile 2009).

A whole package of improvements to the A64 was included in a Government White Paper 20 years ago - none of which have ever reached the top of the list for funding. The entire development strategy for Ryedale is dependent on the development of the infrastructure. The junction improvements have been recognised in studies as crucial to the future success of Malton and Norton and have been supported by both town councils and the Norton and Malton Partnership.

In April 2009 the executive of NYCC was directed by the Regional Transport Board to allocate an under spend in funding for Yorkshire and the Humber. Because officers and members have been lobbying so hard and for so long for investment in the junctions, schemes have already been developed and modelling on impacts and options undertaken. As a result RDC was in a position to bid for the available funds. The result is that NYCC allocated £2.8 million towards the improvements of the junction at Brambling Fields. The cost of the scheme is £3.5 to £4 million and developer contributions have already been negotiated in principle in the sum of £700k. RDC will make up the shortfall and may be able to reclaim further from developer contributions.

Case Study: Ryepod

The Mobile Resource vehicle was launched in January 2008 and is now known as the Ryepod. It was funded from number of sources including Ryedale District Council and the North Yorkshire County Council Community Fund. It is currently used three nights a week by 4Youth and is increasingly hired out during the day to organisations. The aim is to deliver services into the deeply rural areas of the Wolds. The project has been named Ryepod, and has been designed to accommodate a wide range of activities from mobile youth club to information centers.

The focus of the project is a large custom built vehicle specifically designed for use as a community resource, able to provide youth clubs, staging music events, Information services, outreach/training, village fetes and galas, mobile health services and clinics.

Aim: 5. Effective, integrated communication & transport networks

PI Code	Short Name	2006/07	2007/08	2008/09	On Target	Long Term Trend Arrow
		Value	Value	Value		
LPI 65a	% of all development that takes place in market towns and service villages: Housing	No data	No data	No data		
LPI 65b	% of all development that takes place in market towns and service villages: Economic Development	No data	No data	No data		

Aim 6 To have efficient and effective high quality services accessible to everyone in a way that suits them.

WE WANTED TO:

- Resolve 80% of all our service enquiries at the first point of contact by 2009. Encourage people to make more use of electronic channels such as the website and the telephone when contacting us for services.
- Improve our performance each year until all services are in the top 25% of districts.
- Ensuring equality of access to all by meeting national equalities standards
- Securing annual efficiency gains of 2.5%.

AND MADE A COMMITMENT TO:

- Resolve 80% of all service enquiries at the first point of contact by 2009.
- Migrate 70% of customers to use electronic channels (inc telephone) for all transactional services by 2009.
- Set and achieve performance targets that show a year on year improvement across all services until we achieve upper quartile.
- Ensure that all services meet the Level 3 Equalities Standard by 2007 and Level 5 by 2009
- Achieve annual efficiency gains of 2.5%.



AND HAVE DELIVERED:

The Customer Contact Centre was established at Ryedale House in May 2006. Joint Ryedale Customer Centres are being delivered in partnership with NYCC in Helmsley and Pickering. The Kirkbymoorside centre is due to be opened in July 2009. The Contact Centre at Ryedale House has resulted in 40% of calls being resolved at the first point of contact and not being transferred to the back office.

The number of visits to RDC reception has reduced from an average of 487 a month in 2005/6 to 409 in 2007/8. Since 2005/6 the number of visits made to the Council's website has gone up from 102,236 in 2005, to 161,194 in 2006, 249,980 in 2007 and is currently at 283,880 (source: AWStats website statistics).

In 2007 the Council's website was upgraded to "Transactional" status in the annual assessment of local authority websites carried out by SOCITM. We held this grade in 2008 which put the Ryedale District Council website in the top 170 of all 468 local authority sites, and in the top 25% of comparable shire district authorities. Regionally, Ryedale was one of the 12

(from 22) authority websites awarded this high grade (source: SOCITM Better Connected 2008). Strategic performance management has been implemented across the Council, using the Covalent Performance Management system to integrate service planning and improvement, risk management, equalities monitoring of service delivery and key management information for the Council.

Equalities training was completed for all staff in November 2006. A programme of parish planning is being undertaken in most remote areas of Ryedale. Market towns engaged through Renaissance Market Towns and the Malton Town Centre Strategy. Satisfaction levels will be monitored and analysed following the Place Survey.

The Council has recently agreed to join a procurement partnership with a number of other local authorities to provide increased capacity and expertise in this area. E-marketplace is established and will be implemented with new electronic purchasing system and is currently, being piloted with Streetscene Services, before rolling out to remaining service units. Annual efficiency gains of 2.5% were achieved between April 2005 and March 2008.

Case Studies: One Stop Shops

Building work began in March 2009 on Kirkbymoorside's new £600,000 library and information centre. The new library will be in Church House on Church Street, Kirkbymoorside and will open in early summer this year. The project is the result of a partnership between North Yorkshire County Council, Ryedale District Council and the regional development agency Yorkshire Forward. The library and information centre will also act as a one-stop shop for public services. The new facility will offer meeting rooms for hire, and North Yorkshire County Council's Adult Learning Service, in partnership with other providers, will offer training opportunities including computer workshops and literacy and numeracy skills classes as well as leisure based courses. The work has been part-funded by Yorkshire Forward, the regional development agency, as part of its Renaissance Market Towns programme.

**Helmsley One Stop Shop**

A brand new library and customer services centre opened in Helmsley in December 2008 after a £175,000 redevelopment has ensured it will meet the needs of the local community in the 21st century. Services provided by Ryedale District Council, North Yorkshire County Council and Helmsley Town Council can now be accessed under one roof in the heart of the town. The new library is sited at the front of Helmsley Town Hall, directly onto the market place and includes a dedicated children's area with comfortable seating and space for activities and storytelling as well as meetings rooms for hire by local groups. The library incorporates many suggestions made by local residents during public consultation and also benefits from additional state-of-the-art flat screen computers providing free internet access as well as new books, DVDs and talking books worth £10,000. New facilities also include a café area, accessible toilet and baby changing area. In addition to the library service, Ryedale District Council operates services from the town centre on Fridays and there is access to Helmsley Town Council services on Monday and Tuesday mornings.

Aim: 6. Efficient effective high quality service accessible to all

PI Code	Short Name	2006/07	2007/08	2008/09	On Target	Long Term Trend Arrow
		Value	Value	Value		
LPI 66 RDC	Service enquiries resolved at first point of contact (telephone)	38%	40%	40%		
LPI 67c	Payments - face to face	No data	30%	22%		
LPI 67a	Payments made using electronic channels	No data	64%	78%		
BV 16b	Percentage of Economically Active People who have a Disability	11.83%	11.83%	11.83%		
BV 17a	Ethnic Minority representation in the workforce - employees	1.0%	0.7%	0.6%		
BV 16a	Percentage of Employees with a Disability	2.93%	2.06%	1.56%		
LPI 72	E-govt: E-enabled interactions	97.23%	97.23%	97.23%		
LPI 68	Performance targets met or exceeded - %	55%	47%	59%		
BV 2b	Duty to Promote Race Equality	79%	100%	100%		

Ryedale Strategic Partnership

This vision for the future contained in the Sustainable Community Strategy was determined by the communities of Ryedale in 2003 through a process called Imagine... using the principles of appreciative inquiry. These principles underpin everything we do as a partnership and are the foundation of all of our community engagement activity. The vision for Ryedale is made up of six themes.



Vibrant Communities
Health and Wellbeing

Strong Safe Communities
Landscape and Environment

Access and Communication
Developing Opportunities

These themes set a clear direction for the partnership by defining the long term priorities of all of those with a stake in Ryedale and address the major concerns for the future. The role of the RSP is to co-ordinate the actions of the public, private, voluntary and community sector partners in the implementation of the Sustainable Community Strategy, which provides the framework within which local authorities can exercise their powers of well being. The RSP also works to co-ordinate the work of partners in improving services to meet the community's needs and aspirations, to ensure improved outcomes and quality of life for the people of Ryedale. It also works to promote the engagement of Ryedale's people and communities in decisions about the future of the District. As a result of a review of the partnership in 2006, the following four priorities were identified as requiring co-ordinated action by all of the partners and across all sectors to improve the quality of life in Ryedale in the shorter term:

4 Priorities for Action by the RSP:

- Helping people to achieve a healthy weight
- Improving levels of skills for life for adults
- Increasing access through community transport
- Engaging effectively with people and their communities

The Local Area Agreement

All of the partners in North Yorkshire are contributing to the delivery of a set of shared outcomes which are contained within the North Yorkshire Local Area Agreement. The delivery of the NY LAA is managed by the North Yorkshire Strategic Partnership (NYSP). A LAA is a performance management framework for a Sustainable Community Strategy. In Ryedale the Local Strategic Partnership has identified a set of 20 shared priorities from within the NYLAA. It will use this set to performance manage the achievement of the vision and the sustainable communities strategy for Ryedale in 2013 Imagine Ryedale...

The Council is a member of the Ryedale Strategic Partnership and is committed to co-operating in the delivery of the NY LAA with a particular focus on those shared outcomes which have been identified as a priority in Ryedale and which will improve the quality of life within our communities.

The following table illustrates the relationship between the North Yorkshire Local Area Agreement, the Themes of Imagine Ryedale, the Ryedale LAA shared targets and the aims of the Council Plan 2009-13.

Aim 1: Housing Need

To meet housing need in the Ryedale District Council area

Aim 2: Economic Success

To create the conditions for economic success

Aim 3: High Quality Environment

To have a high quality, clean and sustainable environment.

Aim 4: Active Communities

To help all residents to achieve a healthy weight by encouraging an active lifestyle, in communities where everyone feels welcome and safe

Aim 5: To Transform the Council

To know our communities and meet their needs, developing the leadership, capacity and capability to deliver future improvements for our communities.

Ref	NYSP Theme	Description	Imagine Ryedale... Theme	Ryedale LAA	RDC Council Plan
NI 32	Safer	Repeat incidents of domestic violence.			Aim 1
NI 141	Adults	Percentage of vulnerable people achieving independent living.	Developing Opportunities	●	Aim 1
NI 155	Stronger	Number of affordable homes delivered.	Developing Opportunities	●	Aim 1
NI 159	Stronger	Supply of ready to develop housing sites	Developing Opportunities	●	Aim 1
L 8	Stronger	Prevent homelessness through advice and proactive intervention (interventions per 000 households)			Aim 1
L 12	Adults	Additional extra care units occupied.			Aim 1
NI 152	Economy	Working age people on out of work benefits.			Aim 2
NI 164	Economy	Working age population qualified to at least level 3 or higher.	Developing Opportunities	●	Aim 2
NI 171	Economy	New Business registration rate (per 10,000 resident population aged 16 and above).			Aim 2
NI 175	Stronger	Number of passengers carried on Community Transport.	Access and Communication	●	Aim 2
L 36	Economy	Grow the Creative Industries sector.			Aim 2
L 37	Economy	Increase the value of tourism earnings. (£mn)			Aim 2
NI 185	Stronger	CO ₂ reduction from local authority operations (incl. schools).	Landscape & Environment	●	Aim 3
NI 186	Stronger	Per capita reduction in CO ₂ emissions in the LA area.	Landscape & Environment	●	Aim 3
NI 189	Stronger	Flood and coastal erosion risk management.	Landscape & Environment	●	Aim 3
NI 192	Stronger	Household waste recycled and/or composted			Aim 3
NI 193	Stronger	Municipal waste landfilled.			Aim 3
NI 197	Stronger	Improved local biodiversity – active management of local sites.			Aim 3
NI 1	Stronger	% of people who believe people from different backgrounds get on well together in their local area.			Aim 4
NI 8	Healthier	Adult participation in sport.	Vibrant Communities	●	Aim 4
NI 17	Safer	Perceptions of anti-social behaviour.			Aim 4
NI 20	Safer	Assault with injury crime rate.	Strong Safe Communities	●	Aim 4
NI 41	Safer	Perceptions of drunk or rowdy behaviour as a problem.	Access & Communication	●	Aim 4
NI 47	Safer	People killed or seriously injured in road traffic accidents. (based on 3yr rolling averages)	Strong Safe Communities	●	Aim 4
NI 56	Healthier	Obesity among primary school age children in Year 6.	Health & Wellbeing	●	Aim 4
L 58	Children	% of schools achieving Healthy Schools Status.	Health & Wellbeing	●	Aim 4
L 64	Children	Children and young people's participation in high quality sport.	Health & Wellbeing	●	Aim 4
NI 3	Stronger	Civic participation in the local area.	Vibrant Communities	●	Aim 5
L 41	Stronger	% of population within 5 miles of a Joint Access Centre.	Access & Communication		Aim 5
NI 30	Safer	Re-offending rate of prolific and priority offenders.	Strong Safe Communities	●	
NI 115	Safer	Substance misuse by young people	Health & Wellbeing	●	
L 63	Stronger	Participation in regular volunteering.	Vibrant Communities	●	
L 65	Stronger	Environment for a thriving third sector	Vibrant Communities	●	

In April 2008, the Government introduced a new framework of National Indicators (NI) which focuses on outcomes for the local area. The 2008-09 results for the Ryedale area are detailed in the following tables.

Aim 1. Housing Need

PI Code	Short Name	Value 2008/09
NI 32 LAA	Police. Repeat incidents of domestic violence	12.5%
NI 139	The extent to which older people receive the support they need to live independently at home	41.2%
NI 154	Net additional homes provided	96
NI 155 LAA	Number of affordable homes delivered (gross)	57
NI 156	Number of households living in temporary accommodation (snapshot)	10
NI 159 LAA	Supply of ready to develop housing sites	83.2%
NI 181	Time taken to process Housing Benefit/Council Tax Benefit new claims and change events	9.9 days
NI 187(i)	Tackling fuel poverty – % of people receiving income based benefits living in homes with a low energy efficiency rating: (i) Low energy efficiency	17%
NI 187(ii)	Tackling fuel poverty – % of people receiving income based benefits living in homes with a low energy efficiency rating: (ii) High energy efficiency	29%

Aim 2. Economic Success

PI Code	Short Name	Value 2008/09
NI 151	Overall Employment rate (working-age)	No data – results expected November 2009
NI 152	Working age people on out of work benefits	No data – results expected July 2009
NI 171 LAA	New business registration rate per 10,000 pop'n 16yrs+	No data – results expected November 2009
NI 172	% of small businesses in an area showing employment growth	No data – results expected November 2009
NI 175 LAA	Access to services and facilities by public transport, walking and cycling.	25427
NI 180	The number of changes of circumstances which affect customers' HB/CTB entitlement within the year.(per 1000 caseload)	1958 (Jun 08-Mar 09)
NI 181	Time taken to process Housing Benefit/Council Tax Benefit new claims and change events	9.9 days
NI 182	Satisfaction of business with LA regulation services	82%

Aim 3. High Quality Environment

PI Code	Short Name	Value 2008/09
NI 5	Overall/general satisfaction with local area	87%
NI 37	Awareness of civil protection arrangements in the local area	20.8%
NI 138	Satisfaction of people over 65 with both home and neighbourhood	91.6%
NI 185 LAA	CO2 reduction from LA operations	N/A – baseline year
NI 186 LAA	Per capita reduction in CO2 emissions in the LA area (Date for release of data not set by Department of Energy & Climate Change)	No data
NI 188	Planning to Adapt to Climate Change (Level 0=low, 4=high)	Level 0
NI 189 LAA	Flood and coastal erosion risk management	100%
NI 191	Residual household waste - kg per household (was LPI 60)	473kg/hh
NI 192 LAA	% of household waste sent for reuse, recycling and composting	53.10%
NI 193 LAA	Percentage of municipal waste land filled	54.47%
NI 195a	Improved street and environmental cleanliness-Litter	5%
NI 195b	Improved street and environmental cleanliness (levels of litter, detritus, graffiti and fly posting): Detritus	5%
NI 195c	Improved street and environmental cleanliness-Graffiti	0%
NI 195d	Improved street and environmental cleanliness-Fly-posting	0%
NI 196	Improved street and environmental cleanliness-Fly tipping	4
NI 197 LAA	Improved Local Biodiversity – % of Local Sites where positive conservation management has been or is being implemented.	22.8%

Aim 4. Active Safe Communities

PI Code	Short Name	Value 2008/09
NI 1 LAA	% of people who believe people from different backgrounds get on well together in their local area	81.1%
NI 2	% of people who feel that they belong to their neighbourhood	70.8%
NI 8 LAA	Adult participation in sport and active recreation. Sport England Active People Survey-Annual	17.9%
NI 17 LAA67	Perceptions of anti-social behaviour	10.8%
NI 23	Perceptions that people in the area treat one another with respect and consideration	20.8%
NI 41 LAA	Perceptions of drunk or rowdy behaviour as a problem	21.9%
NI 47 LAA	People killed or seriously injured in road traffic accidents	No data - expected 31.07.2009
NI 119	Self-reported measure of people's overall health and wellbeing	75.3%

Aim 5. To Transform the Council

PI Code	Short Name	Value 2008/09
NI 3 LAA	Civic participation in the local area	18.1%
NI 4	% of adults surveyed who feel they can influence decisions affecting their local area	30.9%
NI 14	Avoidable contact: the proportion of customer contact that is of low or no value to the customer	10.7%
NI 179	Value for money – total net value of ongoing cash-releasing value for money gains that have impacted since start of 08-09 financial year	£150,000 forecast Oct 2008

Other National Indicators reported at a District level

PI Code	Short Name	Value 2008/09
NI 6 LAA63	Participation in regular volunteering	31.6%
NI 15	Serious violent crime rate per 1000 pop'n	0
NI 16	Serious acquisitive crime rate per 1000 pop'n	4.73
NI 20 LAA	Assault with injury crime rate per 1000 pop,n	3.93
NI 21	Dealing with local concerns about anti-social behaviour and crime issues by the local council and police	32.5%
NI 22	Perceptions of parents taking responsibility for the behaviour of their children in the area	43.9%
NI 27	Understanding of local concerns about anti-social behaviour and crime issues by the local council and police	27.5%
NI 35	Building resilience to violent extremism	2
NI 42	Perceptions of drug use or drug dealing as a problem	20.7%
NI 48	Children killed or seriously injured in road traffic accidents (3yr Rolling Ave) % change per 100,000 Pop	No data - expected 31.07.2009
NI 56	Obesity in primary school age children in Year 6	No data – expected 30.09.2009
NI 137	Healthy life expectancy at age 65	No data – will not be available until 2012/13
NI 140	Fair treatment by local services	41.2%
NI 157a	Processing of planning applications: Major applications	68.00%
NI 157b	Processing of planning applications: Minor applications	80.21%
NI 157c	Processing of planning applications: Other applications	92.92%
NI 170	Previously developed land that has been vacant or derelict for more than 5 years	No data – expected September 2009
NI 184	% of Food establishments in the area broadly compliant with food hygiene law	77%



The cost of Council services

Revenue Account for the year ended 31 March 2009

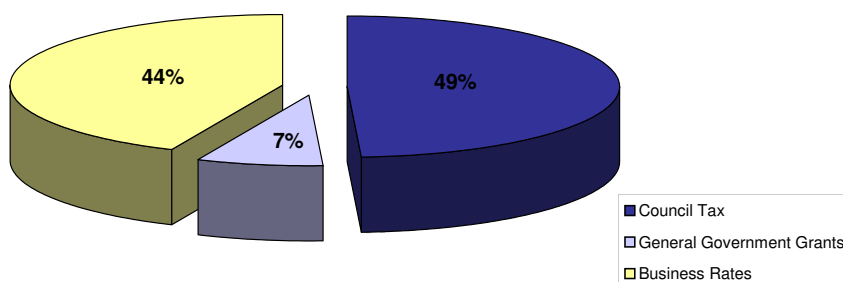
The Revenue Account presents the cost of running Council services between 1 April 2008 and 31 March 2009 and where the money came from to finance those costs.

	Gross Expenditure £'000	Income £'000	Net Expenditure £'000
Central Services to the Public	4,203	3,393	810
Cultural and Related Services	1,802	219	1,583
Environmental and Regulatory Services	4,504	1,743	2,761
Planning and Development Services	2,739	1,371	1,368
Highways and Transport Services	923	1,049	(126)
Housing Services	10,695	9,599	1,096
Corporate and Democratic Core	1,238	3	1,235
Other Corporate Costs and Non Distributed Costs	479	12	467
Net Cost of Services	26,583	17,389	9,194
Parish Council Precepts			571
Investment Income			(957)
Contribution to/(from) Earmarked Reserves			(361)
Contribution to/(from) Pension Reserve			(748)
Other Appropriations and Internal Accounting			893
Amount to be met from Government Grants and Local Taxation			8,592
Financed by:			
Council Tax			(4,231)
General Government Grants			(628)
Business Rates			(3,733)
Net General Fund (Surplus)/Deficit for the year			0



The £3.32 per week per Band D dwelling that the Council received from the Council Tax helped to pay for the wide range of services provided by the Council.

Where the money came from



Where your Council Tax went

The table below shows that Ryedale District Council's share of the Council Tax (including Parishes) was 12% which was equivalent to £3.32 per week per Band D dwelling.

	Per Band D Dwelling £
Ryedale District Council	172.41
Parish Council Precepts and Special Expenses	29.41
North Yorkshire County Council	988.36
North Yorkshire Police Authority	193.37
North Yorkshire Fire and Rescue Authority	58.56
Total Average Bill	1,442.11

RYEDALE DISTRICT COUNCIL	
CUSTOMER RECEIPT	
Recreation & Sport	32p
Tourism	12p
Culture & Heritage	9p
Parks & Open Spaces	5p
Waste Collection & Recycling	45p
Street Cleansing	13p
Public Conveniences	10p
Community Safety	4p
Flood Defence & Land Drainage	4p
Environmental Health	23p
Economic Development	5p
Planning & Development	44p
Car Parks	-17p
Transport Support	12p
Private Sector Housing Grants	13p
Housing Benefits	10p
Homelessness	5p
Housing	12p
Cost of Democracy	23p
Electoral Registration & Elections	5p
Corporate Management	20p
Local Tax Collection	15p
Other Services	28p
Weekly Grand Total	£3.32
THANK YOU	



Balance Sheet

What the Council owns and is owed

	31 March 2009
	£'000
Assets owned by the Council	13,203
Stock and Work in Progress	164
Investments	14,599
Money owed to the Council	1,564
Cash in Hand	217
Money owed by the Council	(4,440)
Government Grants Deferred	(721)
Capital Grants Unapplied	(154)
Pension Scheme Liability	(19,608)
Total Assets less Liabilities	4,824
Financed by:	
Non Distributable Accounts	12,503
Distributable Reserves	11,929
Pension Reserve	(19,608)
Total Net Worth	4,824
Distributable Reserves above comprise the following balances:	
Useable Capital Receipts	5,140
Earmarked Reserves	6,290
Collection Fund	499
Distributable Reserves	11,929

The Council has a duty under legislation to maintain a prudent level of reserves. As at 31 March 2009 the level of reserves met the criteria set out in the financial strategy and was therefore considered sufficient.



Capital Expenditure

Capital Expenditure generally represents money spent by the Council on purchasing, upgrading and improving assets and services. The Council receives the benefit from capital expenditure over a longer period of time than revenue expenditure.

	2008/2009 Actual £'000
Housing Renovation Grants - Disabled Facilities	442
Affordable Housing Initiatives	332
Malton Town Centre Physical Improvement Work	241
Leisure Facilities	165
Private Sector Energy Efficiency Grants	103
Other Schemes	411
Total Capital Expenditure	1,694
Financed by:	
Government Grants and Other External Contributions	855
Ryedale District Council Reserves	839
Total Sources of Finance	1,694

Summary of the Medium Term Financial Strategy

The Council has put in place a fully integrated Financial Strategy that seeks to ensure Long-term financial stability, the achievement of Value for Money and funding for priorities.

The focus of the Financial Strategy is on long term planning and decision making for the future. This Strategy seeks to avoid year on year budget setting and use of short term/one off measures to balance the budget. It is a strategy for the future, to ensure effective resource planning and the delivery of Corporate Objectives.

The Financial Strategy seeks to achieve the following objectives: -

- Budgets are Prudent and Sustainable in the Long Term,
- Financial plans recognise corporate Priorities and Objectives,
- Significant risks are identified, and mitigation factors identified,
- The Capital Programme is planned over a 4 year period. Borrowing is not planned and will only take place where there is a clear financial business case to borrow,
- Constraints on capital and revenue resources, including the uncertainties around future government funding, are recognised and taken into account,
- Council Tax increases will be kept below the Government's expected upper level of increase, and the broad anticipated increase for future years will be set out within the Financial Plans, recognising that these increases may be subject to change,
- Prudent levels of general balances, reserves and contingencies are maintained in the context of an assessment of the risks facing the Council,
- Value for Money and achievement of improved efficiency and service delivery underpin the Financial Strategy,
- The Financial Strategy supports the achievement of Excellence in Financial Management and Use of Resources.

The Financial Strategy sets out the overall shape of the Council's budget by establishing how available resources will be allocated between services, reflecting Council and community priorities, and therefore providing a framework for the preparation of annual budgets.

The Strategy is linked with and supports service priorities and the Council's other strategies and plans, including but not limited to:

- The Community Plan – Imagine Ryedale
- The Council's Corporate Plan
- The Asset Management Plan
- The IT Strategy
- The Procurement Strategy
- The Capital Strategy
- The Treasury Management Strategy
- The Risk Management Strategy
- The HR Strategy

As far as possible, the plan anticipates future needs and recognises the financial uncertainties, risks and challenges faced by the Council.

The headline elements for the Financial Strategy are as follows:

- A revenue budget for 2009/10 of £8,128,100.
- An increase in Council tax for the District Council element of 2.5% to £176.52 for a band D property (the lowest % increase in North Yorkshire).
- Efficiencies/savings for 2009/10 of £481,000
- Investment in Priorities for 2009/10 of £197,000
- A capital programme totalling £14,188,000 over the period 2009 – 2013

Medium Term Revenue Budget Forecast

	2008/09 Estimate £'000	2009/10 Estimate £'000	2010/11 Projection £'000	2011/12 Projection £'000	Notes
Base Budget and Inflation					
Base Budget		7912	8128	8400	1
Inflation (net)		51	53	55	2
Pay Award Provision and Increments		188	260	270	3
		8151	8441	8725	
Add Future Cost Increases					
Budget Pressures		194	60	50	4
Meeting Priorities		197	100	100	5
Deduct Future Savings					
Efficiency & Other Savings (net)		-481	-201	-225	6
Other Net Movements		-33	0	0	
Contribution from General Reserve		150	0	0	7
Contribution from Local Development Framework		-50	0	0	8
Net Revenue Budget	7912	8128	8400	8650	
Financing					
Government Grant Settlement	4252	4385	4520	4610	9
Collection Fund Surplus	72	56	40	40	10
Council Taxpayers	3588	3687	3840	4020	10
Budget Requirement	7912	8128	8400	8670	

Medium Term Revenue Budget Forecast Notes

1. The base budget is updated each year to take account of inflation and growth factors in the previous year.
2. General Inflation is included at 3% on expenditure for 2009/10 and for subsequent years. It is netted off with anticipated increases in income at the inflation level.
3. The budget for 2009/10 includes a pay award provision of 2%. An increase of 3% has been used for the following two years. A provision is included for annual increments to cover the progress up the salary grade of new starters.
4. Provision is included for 2010/11 and 2011/12 for the likelihood of additional spending pressures. They include the further impact of the reduction of government grant and increased contributions to the Pension Fund.
5. The existing policies and planned priorities such as the Local Development Framework and the provision of a Sports Centre for the community use at Malton School will have revenue implications.
6. Further efficiency and other savings will be required to balance the budget. The government has set local authorities a target of 9.3% cashable efficiency savings over a three-year period.
7. Following the loss of government grant from the LABGI scheme this year, there will be no subsequent year contribution from the General Reserve.
8. A reserve has been created to contribute towards the extra cost of accelerating the implementation of the Local Development Framework.
9. The provisional increase of Formula Grant from Central Government indicates a 3% increase for 2010/11. Proposals for 2011/12 are not known yet but with the current economic climate predictions are that CSR10 will provide below than inflation grant funding.
10. Council Tax levels are assumed to increase at 3% for 2009/10. Future years Council Tax rises are predicted at 4%. An adjustment has been made for a small increase in the council tax base. The Collection Fund Surplus is estimated to be £40,000 each year.

How we keep you informed

- Publish the Ryedale News, delivered to every home in Ryedale twice a year in spring and autumn
- Distribute a parish newsletter to all the parish & town councils in spring & autumn
- Our website www.ryedale.gov.uk has information on all the services we provide, news, events and meetings.
- Produce an Annual Report in July which updates you on the progress we have made in delivering the priorities in the Council Plan and details what we are going to do in the following year
- Leaflets available at all our offices and to download from our website ww.ryedale.gov.uk

How you can be involved

- Come along to a committee meeting, most meetings are open to the public. Dates and agendas are available on the Council website or by contacting the Council's Democratic Service unit.
- Parish liaison meetings are held twice a year. All parish councils are invited to discuss any issues that matter to their local communities. One way for you to get involved is by getting involved in your local Parish Council
- Parish Plans – we encourage every local community to produce a parish plan
- Forums – our Housing service hosts a landlord forum, any landlord can attend to find out about changes in legislation and discuss any issues you may have.
- Environment Forum
- Ryedale Strategic Partnership holds an annual conference in March each year
- Businesses are invited to attend the Yorkshire Moors & Coast Tourism partnership Annual Conference held in February.
- We are in touch with various support groups in Ryedale allowing people to get involved who would not usually be able to.
- Let us know your views by completing the Comments, Compliments and Complaints form available on our website and at any of our offices.

How we consult with you

- We consult on the budget and our Council priorities every year in September
- Every two years we send a survey (the Place Survey) to a random selection of homes in Ryedale asking your views about your local area and the services that we provide.
- Consultation events and surveys on specific issues or changes to the services we provide are held throughout the year. Details of these can be found on our web site and in the local press.
- We consult regularly on Community Safety, Housing Need, Satisfaction with regulatory Services, Business Needs and the development of Ryedale Local Development Framework.

A calendar of community engagement activities and events can be found on www.ryedale.gov.uk

Summary of Community Led Planning achieved to date in Ryedale:

The Council has in partnership with the RSP developed a comprehensive programme of Community Led Planning. This has been geographically focused and is currently taking place in the Howardian Hills AONB.

The vision for this programme is of 'A Plan for Every Parish'. Ryedale has 99 parishes of which 5 are Town Councils, 63 Parish Councils and 31 Parish Meetings. A total of 51 community led plans have been published of which parish plans have been published for 39 of our 63 parish councils and 7 by parish meetings. The total coverage of our community led planning activity has so far been that 77% of the total population of Ryedale have had access to a community planning project, with average response rates being 80%.

This body of plans therefore represents an extensive evidence base with which the council and its partners can inform their corporate, financial planning and service level activities and decision making. Similarly they have been used to help partner organisations to work together on issues which are shared by a number of communities and need a number of partners to actually make progress.

Achievements to date as a result of local community planning activity include:

Ampleforth

A high priority was the formation of a first responder team – training has taken place the village will join up with a neighbouring community to form a team. Higher profile policing of the village was also a high priority. The police presence is now evident on a regular basis with the police team working well and patrolling the village on a regularly. Contact is easily made by the parish if required.

Appleton le Moors

A medium term priority for the community was the development of a village archive. This is now very well established.

Bransdale

The national trust has worked on partnership with the community to enable the old school house to be used by the community as village hall.

Claxton and Sand Hutton

As a result of the work on the parish plan a celebration event was held in the village hall. This has now become an annual event with the next planned for 6 June 2009, including heritage exhibition. With a scale model of the railway.

Cropton with Cawthorne

The usage of the village hall has increased and diversified including a local heritage group, monthly coffee mornings, weekly bowls and yoga and rural arts events.

Ebberston with Yedingham

Disabled toilets have now been completed at the village hall. The roads at Bickley have been improved by NYCC. A successful neighbourhood watch scheme was started in the parish.

Farndale United Parishes

The brand room refurbishment has made excellent progress with all work being completed and further work planned for the future. Work undertaken to date includes a new roof, kitchen, safety fencing and decoration. Farndale Show continues well with entries continuing to increase to a high in 2008, unfortunately due to local flooding the show had to be cancelled in 2008 for the first time in over 100 years

Gillamoor and Fadmoor

The footpath between the villages of Gillamoor and Fadmoor has been reinstated and this enables members of both communities to access the playing field facilities, the field for which was purchased as a result of the parish plan being completed and attracting support for funding.

Hutton le hole

A village caretaker has been employed to undertake environmental maintenance work and some visitor management work in the parish. A youth shelter has been established on the village playing field and a youth club operates successfully in the parish. Communication with the police in relation to speeding traffic through the village has increased, speed matrix has been deployed.

Lockton

A wildflower verge was created – with varied success – the cows were rather fond of them! A bi-monthly parish newsletter is produced and funded by the parish council.

Rosedale and Hartoft

Village caretaker in post. Land options for affordable housing being investigated with the RDC rural housing enabler. Local heritage group formed and investigating options for developing interpretation boards at the remains of Rosedale abbey, former mines, kilns and old railway.

Westow

Westow Parish Council has established a planning sub-committee to ensure that all planning applications reflect the principles of the Village Design Statement. Ryecat community transport provision is available for the villages in the parish.

Workforce Monitoring Information - 1 April 2008 to 31 March 2009

Information	Time Period	Figure	Comment
Headcount Full Time Employees	As at 31 st March 2009	223	Staff numbers have remained relatively static over the past two years the slight increase from 314 to 322 (total staff) is due largely to the partnership increase
Headcount Part Time Employees	As at 31 st March 2009	99	
Number of new starters	Full year	55	Staff retention has actually improved slightly (38 leavers last year). The difference between the leavers and starters figures is attributed to temporary cover for absence and partnership employment.
Number of leavers	Full year	26	
Number of employment tribunals	Full year	0	
Ethnic minority representation in workforce	As at 31 st March 2009	2 (0.6%)	Work is currently underway regarding the representation of ethnic and minority groups as part of the workforce and these figures should increase in line with % population figures
Employees with a disability	As at 31 st March 2009	5 (1.5%)	
Number of vacancies	Full year	42	Number of applications received against vacancies was encouraging, it shows the organisation is marketing its vacancies well and reaching its target audience.
Number of applications received	Full year	855	
Number of internal promotions	Full year	11	
Number of training courses attended	Full year	216	Training monitoring and evaluation is continuing to be developed to enable us to produce further in depth information against costs. However, with the introduction of the Learning Zone we will be able to provide much more wide reaching and varied training for little to no cost.
Amount spent on training	Full year	£78425.91	

Ryedale District Council is committed to improving the opportunities for all of our residents and their communities.

The Council's Equality Objectives are:

- To strengthen the council's approach to meeting the needs of its diverse communities;
- To improve communications and demonstrate our commitment to equality;
- To strengthen the council's arrangements for partnership working and procurement;
- To maintain equality monitoring systems for information about service take-up and satisfaction, developing an evidence base to support effective EIA's; and
- To strengthen the performance management of equalities across the council and promote a culture of equality.

Our progress with achieving these objectives in 2008-9 includes:

Objective 1

- We have published a timetable for corporate Equality Impact Assessments in the Council Plan 2009-13
- EqlA have been undertaken for the new Council Plan and service delivery plan assessments will be reviewed annually as part of the review process and performance management of the plan.
- The Ryedale Strategic Partnership has adopted a joint plan for community engagement activity. A process for approving community engagement plans has been adopted by the Heads of Service at RDC.
- A programme of engagement activity with seldom heard groups was established in 2008 and will be repeated annually in September and April. Priorities for the next year are young carers and the Gypsy and traveller communities of Ryedale.
- Information and monitoring systems for all services are being developed in response to need identified through the Equality Impact Assessments
- Heads of Service are supporting managers in performance managing targets and behaviours to promote a culture of equality in day to day practice
- EqlAs' are being undertaken on new policy and service developments, with outcomes informing council decision making

Objective 2

- Standards for accessible communications on all council publications are being developed and published in the corporate identity manual. The standards have been developed with our seldom heard groups and we will test our publications with a variety of audiences.
- We will undertake accessible communications audit against the agreed standards and develop a programme for improvement based on the outcomes. The framework for the audits will be the Corporate Identity Manual.

Objective 3

- Equality principles are being considered when Contracts are being monitored in line with Council Procurement Standards. All managers have received training in procurement and equalities principles.
- The council is developing a partnership protocol with partners through the idea 'Partnership Improvement Programme' to strengthen the council's arrangements for partnership working and this includes applying equality principles (as used in procurement) to our relationships with partners

Objective 4

- The Council is developing information systems, particularly monitoring of service users and levels of satisfaction, to be analysed by social identity group, as part of the investment in IT Systems. Corporate Equality Monitoring is being applied more effectively.
- Place Survey data is being disaggregated by social identity groups and information gathered from service users is focusing on accessing our services, satisfaction with services and outcomes achieved.
- All key decisions laid before committee or council have had a robust Equality Impact Assessment undertaken

Objective 5

- We hope to be able to report achievements in meeting performance targets by equality group to Members in September 2009
- Individual equality targets have been integrated into the performance appraisal process for staff

Useful Contacts

The Main Office of Ryedale District Council is at:

Ryedale House
Malton
North Yorkshire
YO17 7HH

Main switchboard telephone number: 01653 600666

Main fax number: 01653 696801
Email: info@ryedale.gov.uk
Monday to Thursday: 8.30am to 5.00pm
Friday: 8.30am to 4.30pm

Revenues and Benefits Service Opening Hours at Ryedale House

This service is open as follows:
Monday, Wednesday, Thursday: 8.30am to 5.00pm
Tuesday: 10.30am to 5.00pm
Friday: 8.30am to 4.30pm

Parking: There is free parking for visitors at Ryedale House.

Accessibility: Ryedale House is suitable for wheelchair access, has a disabled parking bay, and the Reception has an induction loop.

Area Offices

Pickering Customer Contact Centre

@ NYCC Community Resource Centre

Ropery House
The Ropery
Pickering
North Yorkshire
YO18 8DY

Telephone: 01751 476996.

Opening Hours: Open on Mondays from 9.30am to 5.00pm.

The Benefits Assessor is in attendance from 9.30am to 4.00pm.

Parking: Pay and display car park opposite the Contact Centre.

Accessibility: The Centre has disabled access facilities.

Kirkbymoorside Area Office

Crown Square Centre
Kirkbymoorside
York
YO62 6AY

Telephone: 0845 4560220

Opening Hours: Open on Wednesdays from 8.30am to 3.30pm and Thursdays from 3.00pm to 8.00pm

Parking: Pay and display car park near the Area Office.

Accessibility: The Office has disabled access facilities.

Helmsley Area Office

The Library
Town Hall
Market Place
Helmsley
York
YO62 5BL

Telephone: 01439 770338

Opening Hours: Open on Fridays from 8.30am to 3.00pm

Parking: Pay and display parking in the Market Place.

Accessibility: The Office (which is within the Library) has disabled access facilities.

Building Control Offices

Building Control Services in Ryedale are provided by North Yorkshire Building Control Partnership which provides a building control service to Hambleton, Ryedale and Selby District Councils. Its offices are based at:-

Suite 2
Coxwold House
Easingwold Business Park
Easingwold
York
YO61 3FB

Telephone: 01347 822703

Email: buildingcontrol@ryedale.gov.uk

Opening Hours: Monday - Thursday: 8.30am - 5.00pm,

This document is also available in other languages, large print and audio format upon request.

本文件也可应要求，制作成其它语文或特大字体版本，也可制作成录音带。 (Mandarin Chinese)

Dokument ten jest na życzenie udostępniany także w innych wersjach językowych, w dużym druku lub w formacie audio. (Polish)

Este documento encontra-se também disponível noutros idiomas, em tipo de imprensa grande e em formato áudio, a pedido. (Portuguese)

本文件也可應要求，製作成其他語文或特大字體版本，也可製作成錄音帶。 (Cantonese)

FOR INFORMATION

**RYEDALE
DISTRICT
COUNCIL**



REPORT TO: CONSTITUTION REVIEW WORKING PARTY

DATE: 8 JULY 2009

REPORTING OFFICERS: COUNCIL SOLICITOR AND MONITORING OFFICER
CORPORATE DIRECTOR (s151)

SUBJECT: CRIME AND DISORDER SCRUTINY COMMITTEE

WARDS AFFECTED: ALL

1.0 PURPOSE OF REPORT

1.1 The purpose of this report is to inform the Constitution Working Party of the introduction of legislative changes that place a requirement on the Council to create or designate a crime and disorder committee to scrutinise crime and disorder matters.

2.0 RECOMMENDATIONS

It is recommended that:

- (i) The Overview and Scrutiny Committee be designated the Council's crime and disorder overview and scrutiny committee;
- (ii) That it be recommended to Council that the terms of reference for the Overview and Scrutiny Committee be amended to include:
 - (a) To review or scrutinise decisions made, or other action taken, in connection with the discharge by the responsible authorities of their crime and disorder functions;
 - (b) To make reports or recommendations to the Council with respect to the discharge of those functions;
 - (c) To have at least one meeting each municipal year dedicated to scrutinising crime and disorder matters; and

3.0 BACKGROUND

3.1 Section 19 of the Police and Justice Act 2006 provides that every Local Authority must have a "Crime and Disorder Committee", with the power:

CONSTITUTION REVIEW WORKING PARTY

8 July 2009

- to review or scrutinise decisions made, or other action taken, in connection with the discharge by the “Responsible Authorities” of their crime and disorder functions
- to make reports or recommendations to the Council with regard to the discharge of the Responsible Authorities’ functions

3.2 The Crime and Disorder (Overview and Scrutiny) Regulations 2009 came into force on the 30 April 2009. In conjunction with Section 19 of the 2006 Act, they set out the requirements for discharging crime and disorder overview and scrutiny arrangements. It is recommended that the terms of reference of the Overview and Scrutiny Committee are amended to reflect the Regulations, as follows:

- to review or scrutinise decisions made, or other action taken, in connection with the discharge by the Responsible Authorities of their crime and disorder functions;
- to submit reports or recommendations to the Council with respect to the discharge of those functions;
- to have at least one meeting each Municipal Year dedicated to scrutinising crime and disorder matters; and
- to have power to co-opt members of the Crime and Disorder Reduction Partnership when reviewing decisions and key policy matters
- to have regard, when exercising crime and disorder committee functions, to the duty placed on the Council pursuant to Section 17 of the Crime and Disorder Act 1998

3.3 For the purposes of the Act and the Regulations, Responsible Authorities are those defined in section 5 of the Crime and Disorder Act 1988, namely:

- The Chief Officer of Police and the Police Authority
- The Fire Authority
- The Primary Care Trust
- The Probation Service

In other words the constituent members of the Crime and Disorder Reduction Partnership.

3.4 Section 19 of the Police and Justice Act defines a “local crime and disorder matter”, as a matter concerning:

- (a) Crime and disorder (including in particular forms of crime and disorder that involve anti-social behaviour or other behaviour adversely affecting the local environment) in the area represented by the member, or
- (b) The misuse of drugs, alcohol and other substances in that area.

3.5 A more detailed explanation of the legislation and guidance is included in the attached Annex 1.

4.0 INTRODUCTION

4.1 The Overview and Scrutiny Committee appointed by this Council must include the following general areas of activity:

- To scrutinise the decisions and actions of the “responsible authorities” within the Crime and Disorder Reduction Partnership. The emphasis is on the joint responses on community safety.

- To be the recipient of Councillor references following crime and disorder issues being raised by constituents (the so called Councillor call for action).

4.2 Key points which are of relevance in the Regulations are:

- The Committee may co-opt representatives from partner/co-operating bodies or may choose to invite such representatives to attend the meeting.
- Co-option is specified in the legislation to be by the Review Committee.
- The terms of any co-option can be very flexible. Co-optees may or may not vote, or may be co-opted only for specific purposes. The decision on such arrangements rests with this Council.
- Co-opted membership can be withdrawn by the Committee at any time
- Co-optees may not be on the Executive of an Authority, but can be a member, officer, or other "person".
- The Committee must meet a minimum of once each year.

4.3 There is therefore a wide degree of discretion in the arrangements that the Council can put in place.

5.0 POLICY CONTEXT

5.1 Ryedale has a long established Crime and Disorder Partnership which meets on a regular basis.

5.2 This partnership forms a part of the Local Strategic Partnership for Ryedale and has a set of strategic priorities which are derived from the annual strategic assessment and from consultation with residents and other interested parties within the district.

5.3 The partnership is also the means whereby Ryedale delivers the strategic priorities within the North Yorkshire Local Area Agreement for crime and disorder. The LAA priorities are coordinated by a county wide crime and disorder partnership on which Ryedale has a seat.

6.0 REPORT

6.1 The Committee should be undertaking reviews of the performance of the Partnership. The Guidance suggests four main areas of work:

- Policy development following in depth investigation of a specific local topic;
- Contribution to the development of Strategies;
- Holding to account through formal hearings – questioning representatives of the partnership about their roles, responsibilities and activities;
- Performance management – examination of the performance of the Partnership.

Issues relating to individual organisations should normally be pursued through existing scrutiny arrangements within that organisation.

6.2 To assist the Committee in carrying out reviews it can:

- Require attendance (following reasonable notice) of any officer or employee or a responsible authority or co-operating person or body;and
- Request information (giving reasonable notice) from responsible authorities, co-operating persons or bodies.

Any information sent/received should be de-personalised, unless personal information is strictly needed. As the majority of the work will be at the policy level, personal information would rarely be necessary.

6.3 Once the Committee has considered an issue its reports and recommendations should be sent to all the key affected parties. The recipient of any such report/recommendations should respond, within 28 days (or as soon as reasonable), saying what they intend to do. The Police and Justice Act 2006 imposes a requirement on them to have regard to the report or recommendations in exercising its functions. The Guidance suggests that pre-circulation of draft reports and recommendations may smooth the process, increase ownership of the findings within the recipient organization and consequently be more likely to influence change.

6.4 In addition to this, following discussions between at the North Yorkshire Scrutiny Officers Network have agreed that where an issue affects more than one District and or the County the opportunity to work collaboratively (Joint Task Group) will be considered.

6.5 In order to fulfill this new role it is likely that the Overview and Scrutiny Committee will need training on their responsibilities and scope of their work. It is important that this scrutiny function concentrates on the issues highlighted in para 3.2 rather than issues which should be resolved by direct contact with one of the partner organisations. Joint training across the County is being considered to cover this issue and the Councillor Call for Action.

7.0 LEGAL IMPLICATIONS

7.1 As detailed in the report.

8.0 RISK ASSESSMENT

8.1 There are no risk management implications if the proposed action is supported. If not supported and no arrangements for scrutinising crime and disorder were put in place the Council would not be meeting its legislative requirement.

9.0 CONCLUSION

9.1 To meet the requirements of the Crime and Disorder (Overview and Scrutiny) Regulations 2009 it is proposed that the Community Wellbeing Scrutiny Panel be designated the Council's crime and disorder overview and scrutiny committee and the terms of reference for the Overview and Scrutiny Committee be amended accordingly.

Background Papers:

The Police and Justice Act 2006

The Local Government and Public Involvement in Health Act 2007
The Crime and Disorder (Overview and Scrutiny) Regulations 2009
Guidance for the Scrutiny of Crime and Disorder Matters – Home Office

OFFICER CONTACT:

Please contact Anthony Winship, Council Solicitor, if you require any further information on the contents of this Report. The Officer can be contacted at Ryedale House, Telephone 01653 600666 ext. 267 or e-mail: anthony.winship@ryedale.gov.uk

Requirements of the Police and Justice Act and the Regulations

Committee structures

- 5.1 All authorities are required to create, or designate, a crime and disorder committee to deal with crime and disorder scrutiny.
- 5.2 The Act and the Regulations do not require councils to alter existing committee structures but there must be a formal place where community safety matters can be discussed. Home Office guidance suggests that the crime and disorder scrutiny role could be undertaken by:
 - a dedicated crime and disorder overview and scrutiny committee (or Sub-Committee). The guidance suggests that this may be required where there is specific demand – for example, in the case of larger authorities or those councils with a well developed system of subject-based sub-committees; or
 - the main overview and scrutiny committee, in those authorities which only have one or two scrutiny committees. The guidance suggests that the committee could establish task and finish groups with the specific remit to deal with crime and disorder scrutiny matters, while retaining the ultimate responsibility to look at community safety issues.

Role of the committee

- 5.3 The terms of reference of the committee are to scrutinise the work of the community safety partnership and the partners who comprise it, **insofar as their activities relate to the partnership itself**. The Home Office guidance emphasises that the role of the CDRP is to scrutinise the CDRP rather than the partners by acting as a 'critical friend' of the partnership and providing it with a constructive challenge at a strategic level rather than adversarial fault-finding at an operational level.
- 5.4 The committee is expected to:
 - consider Councillor Calls for Action. CCfA, which came into force in April 2009, gives councillors a new right to raise matters of local concern with their council's overview and scrutiny committee. Local authorities are expected to ensure that their procedures for CCfAs for both crime and disorder matters (introduced by the Police and Justice Act 2006) and local government matters (Local Government and Public Involvement in Health Act 2007) are the same to minimise unnecessary bureaucracy.
 - consider actions undertaken by the responsible authorities on the community safety partnership.
 - make reports or recommendations to the local authority (and partners) with regard to those functions; and
 - include in its work programme a list of issues which it needs to cover during the year. This should be agreed in consultation with the relevant partners on the community safety partnership and reflect local community need.

Key areas for scrutiny

- 5.5 The Home Office guidance document notes that there are a variety of different approaches to scrutinising community safety issues. While the focus of the Police and Justice Act and the Regulations, is on committees, the guidance notes that a lot of scrutiny work is likely to be undertaken in different ways:
- **Policy development** – the scrutiny committees may carry out in-depth scrutiny reviews focused on a specific topic relevant locally; possibly through a task and finish group. Community safety partners and/or the council's executive will have to respond to any recommendations that are made.
 - **Contribution to the development of strategies** – scrutiny of draft proposals could be built into the production on the partnership's strategy, plans, or policies.
 - **Holding to account at formal hearings** – bringing in representatives of the partnership and questioning them about their roles, responsibilities, and activities. This is the simplest method for scrutiny to “hold the partnership to account”, though the guidance notes that this has limitations in terms of constructive outcomes and should be a small part of interaction between scrutiny and the partnership.
 - **Performance management** – examination of the performance of the partnership, often using high-level scorecards or, where appropriate, more detailed data.

This can be an opportunity to look at performance “by exception” (which will highlight both particularly good, and particularly poor, performance), as part of their existing processes for monitoring performance across the Local Area Agreement.

Frequency of meetings

- 5.6 The regulations leave the frequency of meetings to local discretion, subject to the minimum requirement of once a year. The Home Office guidance suggests that scrutiny functions and partners should work together to come up with local solutions, which might form a combination of formal meetings, informal “task and finish” groups, or other methods of evidence gathering and public involvement.
- 5.7 If a local authority decides to undertake “set piece” community safety scrutiny only once a year, then the Home Office guidance suggests that this annual meeting could be in the form of an event looking at crime and disorder matters and discussing which crime and disorder matters should be considered in the next municipal year as matters of local concern. However, the guidance does indicate that the scrutiny function should consider community safety issues more consistently throughout the year, just as it would with any other subject matter.

Two-tier scrutiny

- 5.8 The requirements under sections 19 of the Police and Justice Act and the Regulations apply to both county and district local authorities. Whilst it is recognised that it will be for each local authority to decide how it will implement crime and disorder scrutiny, the guidance suggest that it makes sense that both tiers work together as far as possible to avoid any duplication and that districts and counties should consider developing a joint approach for looking at community safety issues that cut across organisational boundaries.

Co-option

- 5.9 The regulations allow crime and disorder committees to co-opt additional members to serve on the committee.
- 5.10 Members can be co-opted in accordance with the Regulations, which allow a committee to co-opt additional persons provided that they are an employee, officer or member of a responsible authority or of a co-operating person or body and are not a member of the executive of the local authority. The committee can decide whether they should have the right to vote (in accordance with any scheme in place under Schedule 1 to the Local Government Act 2000). Membership can be limited to membership in respect of certain issues only. Councils should take care to clarify the role of such a co-optee, who may be expected, as part of the committee, to hold his or her own organisation to account.
- 5.11 There is also a general power to include additional non-voting members under section 21(10) of the Local Government Act and paragraph 5 of Schedule 8 to the Police Justice Act.
- 5.12 Police authorities have a statutory role to hold the police to account and the Home Office guidance therefore stresses the importance of community safety scrutiny complementing this role.

Local authorities should, in all instances, presume that the police authority will play an active part at committee when community safety matters are being discussed – and particularly when the police are to be present. The guidance recommends that, where appropriate, the police authority have a direct input into the delivery of task and finish reviews that involve the police. It also recommends that local authorities should take the following steps to involve police authorities in work undertaken by their committees.

- *Option 1:* One member of the crime and disorder committee should be a member of the police authority.
- *Option 2:* A member of the police authority should be issued with a standing invitation to attend the committee as an “expert adviser”. Ideally this would be a police authority member, but subject to local agreement there may be some circumstances, and meetings, where a police authority officer would be more appropriate. For example, the guidance suggests that care will need to be taken when inviting police authority members to attend when they are also councillors. Such an advisor would not be a formal member of the committee, but would be able to participate in committee discussion as an expert witness.
- *Option 3:* Committees to consider co-opting a police authority member onto the committee when policing matters are being considered, and it would be for the police authority to decide the most appropriate member to appoint – this can be an independent or councillor member. This would provide a more direct link between the police authority and overview and scrutiny committee and would be particularly relevant if the committee is considering matters directly relevant to policing.

Responding to requests

- 5.13 As part of the crime and disorder scrutiny process, the relevant scrutiny committee will from time to time request further information from the community safety partnership (such as performance information). When asked, the partnership will be under a duty to provide this information. There

is no specific timescale for this, but the committee can expect a response to be provided as soon as reasonably possible.

- 5.14 The information provided by responsible authorities and co-operating bodies must be depersonalised, unless the identification of an individual is necessary or appropriate for the committee to properly exercise its powers. The information should also not include information that would be reasonably likely to prejudice legal proceedings or current or future operations of the responsible authority or co-operating body. It is thought unlikely that the committee will need to receive reports relating to specific individuals, or that mention specific individuals in respect of crime and disorder matters.
- 5.15 The Home Office guidance states that Schedule 12A of the Local Government Act 1972 should not be used as a method to bypass the requirement to depersonalise information by placing reports which are not depersonalised onto Part II of a committee agenda, as an item to be heard without the press or public present.

Making and responding to recommendations

- 5.16 If a committee drafts a report or recommendations which have an impact on community safety issues, the following should occur:
- Copies of the reports and recommendations should be sent to the such responsible authorities or co-operating bodies as are affected by the report or recommendations, or as otherwise appropriate in accordance with section 19(8) of the Police and Justice Act 2006;
 - The relevant partner (or partners) should submit a response within a period of 28 days from the date the report or recommendations are submitted (or if this is not possible as soon as reasonably possible thereafter); and
 - Following the receipt of the response, the committee will need to agree with the relevant partner(s) how progress in implementing the recommendations will be monitored.

Attending committee meetings

- 5.17 The guidance suggests that as part of the accountability role of the committee, it might be useful to request the attendance of senior members of the partnership at key meetings through the year. This might include the chair of the partnership, the Cabinet member with community safety responsibilities, or senior members of partner organisations, such as the local police commander.
- 5.18 The committee may also request the attendance of a representative of the partnership to give evidence to scrutiny enquiries. Community safety partners are obliged to send a representative to attend unless reasonable notice has not been given to the person of the intended date for the meeting. What is meant by “reasonable notice” is not clarified in the regulations or legislation.

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REPORT TO: OVERVIEW AND SCRUTINY COMMITTEE

DATE: 6 AUGUST 2009

REPORTING OFFICER: CUSTOMER SERVICE AND BENEFITS MANAGER
ANGELA WOOD

SUBJECT: CUSTOMER COMPLAINTS MONITORING

WARDS AFFECTED: ALL

1.0 PURPOSE OF REPORT

1.1 To inform Members of the number and type of complaints received under the Council's complaints procedure for the period April – June 2009.

2.0 RECOMMENDATIONS

2.1 To accept the report as attached.

3.0 REPORT

3.1 This report includes complaints monitored under individual service complaints systems (**Annex A**).

3.2 The report also includes a summary of customer feedback to Community Leisure Ltd (CLL) for the period April - June 2009 together with action taken where appropriate (**Annex B**).

Background Papers: RDC Complaints Procedure

OFFICER CONTACT: Please contact Angela Wood, Customer Service & Benefits Manager, if you require any further information on the contents of this report. The officer can be contacted at Ryedale House, 01653 600666 Ext 220 angela.wood@ryedale.gov.uk

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ANNEX A

SUMMARY OF COMPLAINTS LOG

PERIOD: APRIL - JUNE 2009

SERVICE UNIT	SUMMARY OF COMPLAINT	NO SETTLED WITHIN DEADLINE	RESULTANT SERVICE IMPROVEMENTS / ACTION TAKEN
Customer Services & Benefits		-	
Democratic Services		-	
Development Services	<ol style="list-style-type: none"> 1. Incorrect information provided to customer. 2. Dissatisfaction with staff members behaviour. 3. Dissatisfaction with failure to respond to previous correspondence. 4. Dissatisfaction that planning application procedures were not adhered to. 5. Dissatisfaction that planning application procedures were not adhered to. 	5	<ol style="list-style-type: none"> 1. Apology to customer and matter addressed with staff. 2. Letter of apology provided and staff member no longer works for RDC. 3. Detailed letter of response providing customer advice including an apology for delay in responding. 4. Detailed letter of response issued explaining that policies and procedures were followed. 5. Letter sent apologising for delay in responding but also advising customer policies & procedures were followed.

Economic & Community		-	
Facilities & Emergency Planning		-	
Finance & Revenue Services		-	
Forward Planning		-	
Health & Environment		-	
Housing Services		-	
Human Resources		-	
ICT Services		-	
Legal		-	

Streetscene Services	<ol style="list-style-type: none"> 1. Dissatisfaction with staff members behaviour. 2. Dissatisfaction over use of car park for political parties. 3. Missed recycling collection. 4. Dissatisfaction regarding access from Eastgate car park. 5. Dissatisfaction regarding litter removal. 6. Missed refuse collection. 7. Dissatisfaction regarding litter removal. 	7	<ol style="list-style-type: none"> 1. Letter of apology sent and matter addressed with member of staff. 2. Council Policy to be reviewed. 3. Apology given to customer and matter addressed with team. 4. Letter sent to residents advising access cannot be closed however as a compromise will close at night. 5. Letter of advice sent to customer. 6. Waste collected and advice given to customer. 7. Litter removed and advice given to Parish Council regarding provision of litter bin.
Transformation		-	
TOTAL		12	

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Agenda Item 9

DERWENT POOL – CUSTOMER COMMENTS FEEDBACK

APRIL- JUNE 09	very good	good	fair	poor	very poor
Efficiency of the staff	3	1	1	1	0
Helpfulness of the staff	3	1	1	1	0
Courtesy of the staff	3	2	1	0	0
General cleanliness	3	1	2	0	0
Condition of the facilities	2	2	2	0	0
Safety and security	3	2	1	0	0
Pool water temperature	2	1	3	0	0
Air temperature	2	3	1	0	0
Value for money	2	4	0	0	0
Overall experience	3	1	1	0	0
	26	18	13	2	0

COMMENTS	ACTION
Never anyone on the desk when you come in, customers have to look for staff	Unfortunately staff have to leave reception on changeover or if they are dealing with an incident. We do try to ensure that reception is covered at all times, but this is not always possible
There is no mirror or hairdryer in the disabled toilet. Do you think these are not important to disabled people.	We have passed a defect report on to RDC in order to address these issues
Your main entrance (the first place public see) is and has been dirty and unkempt for some time - not a complaint - an observation	Work is planned for replacement doors - in the meantime we will ensure it is kept clean and tidy
Please can you encourage the members of the swim club to use the lockers instead of taking up bench space with their clothes making it difficult to get dressed	We will liaise with the swimming club
A survey by staff on client behaviour! The staff are stretched at times needing to be on the poolside and at the desk. Do people realise how much care staff put in to keep it in such good condition	
None	

LIFESTYLES – CUSTOMER COMMENTS FEEDBACK

APRIL- JUNE 09	very good	good	fair	poor	very poor
Efficiency of the staff	0	0	0	0	0
Helpfulness of the staff	0	0	0	0	0
Courtesy of the staff	0	0	0	0	0
General cleanliness	0	0	0	0	0
Condition of the facilities	0	0	0	0	0
Condition of the equipment	0	0	0	0	0
Safety and security	0	0	0	0	0
Air temperature	0	0	0	0	0
Value for money	0	0	0	0	0
Overall experience	0	0	0	0	0
	0	0	0	0	0

COMMENTS	ACTION
None	
None	
None	

NRLC – CUSTOMER COMMENTS FEEDBACK

APRIL – JUNE 09	very good	good	fair	poor	very poor
Efficiency of the staff	4	1	1	0	0
Helpfulness of the staff	4	1	1	0	0
Courtesy of the staff	5	1	0	0	0
General cleanliness	2	2	1	0	0
Condition of the facilities	3	0	2	0	0
Safety and security	4	1	0	1	0
Value for money	5	0	1	0	0
Overall experience	3	3	0	0	0
	30	9	6	1	0

COMMENTS	ACTION
None	
A very enjoyable class - Alex very helpful and enthusiastic	
First time at class but disappointed, no initial stretching after warm up, no originality in routine and not structured when instructor then lets class have own choice of exercise	
Slightly longer for food or between parties - as it seems a rush to get cleaned up for next people who were queuing to get in.	We will look at party scheduling
Please can you supply somewhere to lock bikes up safely and some new safety matting for gymnastics	Currently looking into the provision of both items
No skates larger than size 8 available at 5.10pm.	Looking into purchasing some new ones
Size 9, 10, 11 & 12 skates would be good	
Provision of a bike rack	
Excellent! Staff very helpful	
Bike park for cycles	

RYEDALE POOL – CUSTOMER COMMENTS FEEDBACK

APRIL – JUNE 09	very good	good	fair	poor	very poor
Efficiency of the staff	5	0	1	0	0
Helpfulness of the staff	5	0	0	0	0
Courtesy of the staff	5	0	0	1	0
General cleanliness	5	1	0	0	0
Condition of the facilities	4	2	0	0	0
Safety and security	5	1	0	0	0
Pool water temperature	3	3	0	0	0
Air temperature	4	2	0	0	0
Value for money	5	1	0	0	0
Overall experience	4	1	0	1	0
	45	11	1	2	0

COMMENTS	ACTION
Give us Wendy back please!	Unfortunately this member of staff is now working at NRLC
Have Wendy doing Aqua	
Excellent, especially as over 60 it was free for myself and my husband!	
Far superior to David Lloyd Leisure who cannot keep a pool clean and have totally Disinterested staff!	
Next time it's lifeguard training, could there be a notice to say only 1/2 pool is available and float session is only 15mins long?	Sorry for any inconvenience caused, a Notice was in reception for a week prior to the exams taking place
Alter angle of shower heads in gents - too close to wall and you have to crunch your face against wall to get under it!	This problem has previously been reported to RDC. Your comments will be forwarded to them

**RYEDALE
DISTRICT
COUNCIL**



REPORT TO: OVERVIEW AND SCRUTINY COMMITTEE

DATE: 6 AUGUST 2009

REPORTING OFFICER: COUNCIL SOLICITOR
ANTHONY WINSHIP

SUBJECT: LOCAL GOVERNMENT OMBUDSMAN – ANNUAL REVIEW
2008/2009 AND RECENT DEVELOPMENTS TO THE
OMBUDSMAN SERVICE

WARDS AFFECTED: ALL

1.0 PURPOSE OF REPORT

- 1.1 This report provides information about the complaints made against Ryedale District Council which were dealt with by the Local Government Ombudsman in 2008/2009.
- 1.2 It will also inform Members of the reflections of the Local Government Ombudsman (“LGO”) in her Annual Review of the complaints received against Ryedale District Council and dealt with by the Ombudsman’s Office during the year 2008/09.
- 1.3 In addition the report updates Members on the new ‘Council First’ procedure for complaints, which came into effect from 1 April 2009, and the proposal to use ‘Statements of Reasons’ relating to decisions of the LGO following investigation of complaints.

2.0 RECOMMENDATIONS

- 2.1 To accept the Local Government Ombudsman’s Annual Review 2008/2009 and to note further developments to the Ombudsman service which took effect from 1 April 2009.

3.0 BACKGROUND

- 3.1 The Local Government Act 1974 established the position of Local Government Ombudsman in England and Wales.
- 3.2 The Local Government Ombudsman is an independent official appointed by Her Majesty the Queen.
- 3.3 One of the roles of the Local Government Ombudsman is to investigate complaints about Councils from members of the public. Their aim is to get Councils to put things right if they have gone wrong and if this has affected members of the public directly.
- 3.4 The LGO Advice Team now provides comprehensive information and advice to

OVERVIEW AND SCRUTINY COMMITTEE

6 August 2009

people who telephone, write or e-mail. It enables citizens to make informed decisions about whether to put their complaint to the LGO.

3.5 The Local Government Ombudsman can look at complaints about most Council services. The Ombudsman can consider complaints about things that have gone wrong, in the way a service has been given or the way a decision has been made, if this has caused problems to the complainant. For example, the complaint may be about:-

- Administrative fault, such as the Council making a mistake or not following its own rules;
- Poor service or no service;
- Delay; or
- Bad advice

3.6 To make an adverse report, the Commissioner must find not only that there has been maladministration but also that the complainant has suffered injustice in consequence thereof.

3.7 A Local Commissioner may not question the merits of a decision taken without maladministration, and may not investigate matters which she regards as affecting all or most of the inhabitants of the area.

3.8 Although a local authority is not compelled to follow the recommendations in a Local Government Ombudsman report, most do.

4.0 INTRODUCTION

4.1 Each year the Local Government Ombudsman publishes statistics relating to the number of complaints decided in each local authority area. These statistics are then included in the Ombudsman's Annual Review.

5.0 POLICY CONTEXT

5.1 The Council's priorities in the Corporate Plan includes Aim 5 to transform Ryedale District Council which includes reference to securing good corporate governance. This is reflected in having a good complaints system. It is an opportunity for the Council to show that it cares about providing a good service, and that it genuinely values feedback on whether there are any problems which need attention. It is, therefore, imperative that we get feedback, not only through our own complaints system, but also from the Ombudsman, and that this information is widely distributed to show that this Council takes complaints seriously and deals with them sympathetically.

6.0 REPORT

6.1 On 17 June 2009, the Council received the Annual Review for the period 2008/09 from the LGO, setting out a table of statistical data for the year ending 31 March 2009 and a note to help with the interpretation of the statistics. A copy of the Annual Review including the statistics and note are attached at Annex A.

6.2 Changes to the Ombudsman's way of working and statistics

A change in the way that the LGO operates means that the statistics about complaints received in 2008/2009 is not directly comparable with those from 2007/08. Since 1 April 2008, the new LGO Advice Team has been the single point of contact

for all enquiries and new complaints. The number of telephone calls to the service nationally has increased significantly since then to more than 3,000 a month. The LGO Advice Team now provides comprehensive information and advice to people who telephone, write or e-mail. It enables citizens to make informed decisions about whether to put their complaint to the LGO. This means that direct comparisons with some previous 2 year statistics are difficult and could be misleading. Therefore, the Annual Review focuses mainly on the 2008/2009 statistics without drawing those comparisons.

6.3 Enquiries and Complaints received

The Ombudsman received a total of 11 enquiries and complaints about this Council during 2008/2009. Two complaints were determined to be premature and needed to be considered by the Council first. 9 complaints were forwarded to the investigation team, 7 about Planning and Building Control, 1 about public finance (including local taxation) and 1 about benefits.

6.4 Complaint outcomes

Ten complaints were determined during the year. Five decisions were taken by the Coventry Office of the LGO to avoid a conflict of interest with the York LGO Office. The remaining five complaints were determined by the York LGO Office.

6.5 There was no finding of maladministration by the Council in six cases while the Council agreed to settle the remaining four complaints as a local settlement in the cases concerning a mobile telephone mast.

6.6 No public reports were issued against the Council during the year.

6.7 The Ombudsman commented that, overall the number of complaints made against the Council to the LGO was small of the 9 complaints sent to the LGO, seven concerned planning.

6.8 Liaison with the Local Government Ombudsman

The LGO made 4 first enquiries to the Council during 2008/09 and the average response time was 24.3 days. This is a significant improvement on previous years. The LGO thanked the Council for the clear effort taken by Officers to respond to her Office in such a timely manner and for the willingness to respond to informal enquiries from LGO staff.

6.9 LGO developments

'Council First'

On 1 April 2009, the LGO implemented a new procedure called 'Council First'. This procedure requires all complainants to go through all stages of the Council's 'Comments, Compliments and Complaints' procedure before the LGO will consider the complaint. The LGO recognised that there would need to be some exceptions. These include where a matter is clearly urgent (eg complaints relating to homelessness), where the complainant's circumstances indicate a need for priority (eg complaints made by children and young people) or where the Council's Chief Executive has exercised discretion not to investigate further.

6.10 Statements of Reasons

The Local Government and Public Involvement in Health Act 2007 made provision for the LGO to publish statements of reasons relating to individual decisions of an Ombudsman following the investigation of a complaint. The proposal is that these statements will comprise a short summary of the complaint, the investigation, the findings and the recommended remedy. The statement, naming the Council but not

the complainant, would usually be published on the LGO's website. The LGO plan to consult local authorities on the detail of these statements, with a view to implementing them from October 2009.

7.0 FINANCIAL IMPLICATIONS

7.1 None directly arising from this report.

8.0 RISK ASSESSMENT

8.1 There are no material risks arising directly from this report.

9.0 CONCLUSION

9.1 The Annual Review is a useful addition to other information held by the Council, highlighting how people experience or perceive its services. It should also be seen as an opportunity to continue to improve the services offered by the Council.

9.2 The Annual Review also keeps the Council informed of further developments in the LGO service.

BACKGROUND PAPERS:

Annual Review 2008/09 from the Local Government Ombudsman

OFFICER CONTACT:

Please contact Anthony Winship, Council Solicitor, if you require any further information on the contents of this Report. The Officer can be contacted at Ryedale House, Telephone 01653 600666 ext. 267 or e-mail: anthony.winship@ryedale.gov.uk

Local Government OMBUDSMAN

16 June 2009

Miss J Waggott
Chief Executive
Ryedale District Council
Ryedale House
MALTON
YO17 0HH

Our ref: Annual Letter/AS/jib
(Please quote our reference when contacting us)

Dear Miss Waggott

Annual Review 2008/09

I enclose an annual review summarising the complaints about your Council that my office has dealt with over the past year. I hope you find the review a useful addition to other information you have on how people experience or perceive your services.

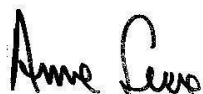
The review is split into two sections. The first is about complaints about your Council and the second provides a general update on LGO developments. This includes our proposal to introduce 'statements of reasons' for Ombudsmen decisions. I would welcome your views on this.

All the annual reviews will be published on our website (www.lgo.org.uk) and shared with the Audit Commission four weeks after this letter. If you feel there is any material factual inaccuracy in the review please let me know so that I can consider and, if necessary, reissue the review. A summary of statistics for all authorities will also be published on our website.

If it would be helpful, I or a senior colleague would be willing to present and discuss the annual review with councillors or staff.

A copy of this letter and the review is being sent to you electronically. I should be grateful if you could put the annual review on your Council's website. You do not need to include this covering letter on your website.

Yours sincerely



Anne Seex
Local Government Ombudsman

Beverley House
17 Shipton Road
York
YO30 5FZ

T: 01904 380200
F: 01904 380269
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Anne Seex
Local Government Ombudsman
Michael King
Deputy Ombudsman

**The Local Government Ombudsman's
Annual Review**

Ryedale District Council

**for the year ended
31 March 2009**

The Local Government Ombudsman (LGO) provides a free, independent and impartial service. We consider complaints about the administrative actions of councils and some other authorities. We cannot question what a council has done simply because someone does not agree with it. If we find something has gone wrong, such as poor service, service failure, delay or bad advice, and that a person has suffered as a result, the Ombudsmen aim to get it put right by recommending a suitable remedy. The LGO also uses the findings from investigation work to help authorities provide better public services through initiatives such as special reports, training and annual reviews.

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Section 1: Complaints about Ryedale District Council 2008/09

Introduction

This annual review provides a summary of the complaints we have dealt with about Ryedale District Council.

I hope that the review will be a useful addition to other information your authority holds on how people experience or perceive your services.

Two appendices form an integral part of this review: statistical data for 2008/09 and a note to help the interpretation of the statistics.

Changes to our way of working and statistics

A change in the way we operate means that the statistics about complaints received in 2008/09 are not directly comparable with those from 2007/08. Since 1 April 2008 the new LGO Advice Team has been the single point of contact for all enquiries and new complaints. The number of telephone calls to our service has increased significantly since then to more than 3,000 a month. Our advisers now provide comprehensive information and advice to people who telephone, write or e-mail. It enables citizens to make informed decisions about whether to put their complaint to us.

This means that direct comparisons with some previous year-statistics are difficult and could be misleading. So this annual review focuses mainly on the 2008/09 statistics without drawing those comparisons.

Enquiries and complaints received

The Commission received a total of 11 enquiries and complaints about the Council. Our Advice Team gave advice on one occasion and determined that two potential complaints to me were premature in the sense that the Council appeared not to have been given a reasonable opportunity of addressing the concerns raised by the citizens involved. Nine complaints were forwarded to me for consideration during the year. Of these, one was a complaint re-submitted by a citizen unhappy with the way in which the Council had dealt with their complaint. Eight complaints were new to me.

The number of complaints made to me was small and while I saw no themes or trends emerging to cause me any concern the Council may wish to reflect upon the fact that of the nine complaints sent to me, seven concerned planning matters.

Complaint outcomes

Ten complaints were determined during the year, a figure which differs from the number of complaints received because of work in hand at the beginning of the year. Five of these decisions were taken by my colleague Mr White in our Coventry office as these were complaints sent to him to avoid any conflict of interest within my office. The remaining five complaints were determined by me. We found no evidence of maladministration by the Council in six cases while the Council agreed to settle the remaining four complaints accepting that something had gone wrong and that it was right to offer a remedy to the complainants.

We will often discontinue enquiries into a complaint when a council takes or agrees to take action that we consider to be a satisfactory response – we call these local settlements. In 2008/09, 27.4% of all complaints the Ombudsmen decided and which were within our jurisdiction were local settlements.

The complaints settled by the Council during the year all concerned the way in which the Council had responded to the erection of a mobile telephone mast. The Council accepted that it failed to deal with the matter properly and it offered, unilaterally, to pay £2,000 to the Parish Council for a community project, a sum rejected by the complainants but upheld by my colleague as a reasonable offer given that the likelihood was always that the mast would have been approved in any event. In one case however, one complainant bought his home unaware that the mobile phone mast had been planned close by. The Council in this case agreed to commission the District Valuer to value the property at the time of purchase as it was and at the time of purchase as if the mast was in situ. The Council agreed to pay any difference to the complainant as well as £250.00 for his time and trouble.

Reports

I issued no public reports against the Council during the year.

Liaison with the Local Government Ombudsman

I ask all authorities to respond to my formal enquiries within 28 calendar days. Although formal enquiries were made on only four occasions the Council took on average just 24.3 days to respond. I thank the Council for the clear effort taken by officers to respond to my office in such a timely manner. I am grateful too for the willingness of the Council to respond to informal enquiries from my staff the result of which is often that the complainant receives a decision on their complaint much sooner than would otherwise be the case.

Training in complaint handling

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YO30 5FZ**

June 2009

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This table gives comparative figures for average response times by authorities in England, by type of authority, within three time bands.

**The Local Government Ombudsman's
Annual Review**

Ryedale District Council

**for the year ended
31 March 2009**

The Local Government Ombudsman (LGO) provides a free, independent and impartial service. We consider complaints about the administrative actions of councils and some other authorities. We cannot question what a council has done simply because someone does not agree with it. If we find something has gone wrong, such as poor service, service failure, delay or bad advice, and that a person has suffered as a result, the Ombudsmen aim to get it put right by recommending a suitable remedy. The LGO also uses the findings from investigation work to help authorities provide better public services through initiatives such as special reports, training and annual reviews.

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Section 1: Complaints about Ryedale District Council 2008/09

Introduction

This annual review provides a summary of the complaints we have dealt with about Ryedale District Council.

I hope that the review will be a useful addition to other information your authority holds on how people experience or perceive your services.

Two appendices form an integral part of this review: statistical data for 2008/09 and a note to help the interpretation of the statistics.

Changes to our way of working and statistics

A change in the way we operate means that the statistics about complaints received in 2008/09 are not directly comparable with those from 2007/08. Since 1 April 2008 the new LGO Advice Team has been the single point of contact for all enquiries and new complaints. The number of telephone calls to our service has increased significantly since then to more than 3,000 a month. Our advisers now provide comprehensive information and advice to people who telephone, write or e-mail. It enables citizens to make informed decisions about whether to put their complaint to us.

This means that direct comparisons with some previous year-statistics are difficult and could be misleading. So this annual review focuses mainly on the 2008/09 statistics without drawing those comparisons.

Enquiries and complaints received

The Commission received a total of 11 enquiries and complaints about the Council. Our Advice Team gave advice on one occasion and determined that two potential complaints to me were premature in the sense that the Council appeared not to have been given a reasonable opportunity of addressing the concerns raised by the citizens involved. Nine complaints were forwarded to me for consideration during the year. Of these, one was a complaint re-submitted by a citizen unhappy with the way in which the Council had dealt with their complaint. Eight complaints were new to me.

The number of complaints made to me was small and while I saw no themes or trends emerging to cause me any concern the Council may wish to reflect upon the fact that of the nine complaints sent to me, seven concerned planning matters.

Complaint outcomes

Ten complaints were determined during the year, a figure which differs from the number of complaints received because of work in hand at the beginning of the year. Five of these decisions were taken by my colleague Mr White in our Coventry office as these were complaints sent to him to avoid any conflict of interest within my office. The remaining five complaints were determined by me. We found no evidence of maladministration by the Council in six cases while the Council agreed to settle the remaining four complaints accepting that something had gone wrong and that it was right to offer a remedy to the complainants.

We will often discontinue enquiries into a complaint when a council takes or agrees to take action that we consider to be a satisfactory response – we call these local settlements. In 2008/09, 27.4% of all complaints the Ombudsmen decided and which were within our jurisdiction were local settlements.

The complaints settled by the Council during the year all concerned the way in which the Council had responded to the erection of a mobile telephone mast. The Council accepted that it failed to deal with the matter properly and it offered, unilaterally, to pay £2,000 to the Parish Council for a community project, a sum rejected by the complainants but upheld by my colleague as a reasonable offer given that the likelihood was always that the mast would have been approved in any event. In one case however, one complainant bought his home unaware that the mobile phone mast had been planned close by. The Council in this case agreed to commission the District Valuer to value the property at the time of purchase as it was and at the time of purchase as if the mast was in situ. The Council agreed to pay any difference to the complainant as well as £250.00 for his time and trouble.

Reports

I issued no public reports against the Council during the year.

Liaison with the Local Government Ombudsman

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Formal/informal premature complaints	0	1	1	2
Forwarded to investigative team (resubmitted prematures)	0	0	1	1
Forwarded to investigative team (new)	1	1	6	8
Total	1	2	8	11

Investigative Team

Decisions	MI reps	LS	M reps	NM reps	No mal	Omb disc	Outside jurisdiction	Total
01/04/2008 / 31/03/2009	0	4	0	0	6	0	0	10

Average local authority response times 01/04/2008 to 31/03/2009

Response times	FIRST ENQUIRIES	
	No. of First Enquiries	Avg no. of days to respond
1/04/2008 / 31/03/2009	4	24.3
2007 / 2008	1	50.0
2006 / 2007	1	61.0

Types of authority	<= 28 days %	29 - 35 days %	> = 36 days %
District councils	60	20	20
Unitary authorities	56	35	9
Metropolitan authorities	67	19	14
County councils	62	32	6
London boroughs	58	27	15
National park authorities	100	0	0

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**Joint County and District Council
Flood Scrutiny Group**

Final Report



Flooding in Filey, July 2007
By kind permission of the Filey Flood Working Group

June 2009

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1.0 Chairman's Foreword

The risk of flooding is here to stay. This was the overwhelming message received by the Joint Scrutiny Task Group on flooding. We have all seen pictures in the media of the devastating effects of the major floods in 2007 in Hull, South Yorkshire and Gloucestershire, which prompted Sir Michael Pitt's comprehensive review, but flooding affects communities much closer to home.

People from communities in North Yorkshire that have flooded all tell a similar story; flooding causes great distress and can be traumatic for a sustained period of time. This strengthened our resolve to carry out this timely assessment of how well prepared we are in terms of flood prevention, planning and recovery and also puts forward proposals for what communities can do to mitigate the worst effects.

Flooding is a topical issue. Sir Michael Pitt's report has prompted national and local debate on what local authorities and agencies can do in partnership. This provided the Task Group with a steer on how its work might be conducted. Whilst we provide an assessment of our preparedness to respond to the recommendations under Pitt, our report is more than that; it sets out our conclusions on the attitudes of agencies involved in flood planning and their commitment towards working together. From the evidence we looked at and from the many discussions we had, our assessment is that we are well prepared. Agencies demonstrated they have a strong track record of working effectively and closely together at a strategic level and it is particularly pleasing that individuals on the ground respect and trust one another and work collaboratively, particularly on an informal basis.

I am grateful for all the advice that individuals from those organisations contributed to this exercise.

Having established we are organisationally well prepared and the infrastructure is sound, the Task Group cast its eye over what could be done to improve community engagement in flood planning. It is hardly surprising that people's attention and interest in flooding matters is at its highest when they are personally affected. Furthermore we were not surprised to find that most people unaffected by flooding tend not to concern themselves with it. There is an argument for doing what we can to raise awareness that flooding is potentially a county-wide risk. In practical terms, information and support might be best targeted in those areas where the flooding risk is at its greatest. Our report comes forward with constructive proposals in this context which we believe adds significantly to the debate.

Finally, I believe that this report and the work undertaken shows how community leaders across authorities working together with good support can reflect the wishes and views of their constituents and come forward with proposals that can improve the quality of life for people in the communities we serve.

I hope you find the report informative and useful.



Cllr John Blackburn

2.0 PART ONE - BACKGROUND

3.0 Objectives/Terms of reference

3.1 The Joint County and District Council Flood Scrutiny Group was set up in Autumn 2008 with the objective of reviewing how prepared North Yorkshire is for flooding incidents, and to make recommendations regarding community resilience. The terms of reference for the review were:-

- *To consider the key agencies' responsibilities and their working relationships with the County Council and each other*
- *To review the procedures for flood prevention, response and recovery.*
- *To establish what arrangements there are for involving and consulting local communities and neighbourhoods in determining flood prevention plans and in flood response and recovery arrangements.*
- *To assess the extent to which the County Council and its partner agencies encourage and take into account local views and intelligence.*
- *To make recommendations for appropriate action by the County Council and partner agencies, particularly relating to the most appropriate locality arrangements and structures for improving community awareness and influence.*

4.0 Membership of the Group

4.1 The group was made up of six County Council elected members (three representatives from the Safe and Sustainable Overview and Scrutiny Committee and three representatives from the Environment and Heritage Overview and Scrutiny Committee) and one elected member from each of the seven District and Borough Councils.

4.2 The membership was as follows

Cllr Michelle Andrew (Vice Chair)	North Yorkshire County Council
Cllr Val Arnold	North Yorkshire County Council
Cllr John Blackburn (Chair)	North Yorkshire County Council
Cllr Geoffrey Cullern	North Yorkshire County Council
Cllr David Fagan	Selby District Council
Cllr John Flinton	Scarborough Borough Council
Cllr Richard Grange	Harrogate Borough Council
Cllr Mrs Frances Greenwell	Hambleton District Council
Cllr Richard Hall (substitute: Cllr Herbert Tindall)	North Yorkshire County Council
Cllr William Heslop	Richmondshire District Council
Cllr David Lloyd-Williams	North Yorkshire County Council
Cllr Elizabeth Shields	Ryedale District Council
Cllr Paul Whitaker	Craven District Council

4.3 The Group was supported by Ray Busby and Rachel Rushforth, Scrutiny Support Officers and Laura Broadbent, Graduate Development Scheme.

5.0 Meetings and visits

5.1 A summary of the meetings and activities of the group is given below.

Date	Meeting/activity	Focus/outcome
Tues 9 December 2008	Multi-agency workshop on flood planning and response	To consider arrangements for multi-agency working on flood prevention, response and recovery
Tues 20 January 2009	Task group meeting Environment Agency offices, York	Visit EA Flood Incident Room - Briefing on multi-agency flood plans and community flood planning in North Yorkshire
Tues 10 February 10am – 3pm	Visit to Hull City Council	To speak to officers and councillors at Hull CC about lessons learned from the 2007 floods
Tues 3 March 10am – 12 noon	Task group meeting Northdale, Northallerton	Discussion with Alan Purdue, Morpeth DC re. recovery planning and joint working with partners - Report on Joint media warning and information group
Tues 31 March 10am – 12 noon	Task group meeting County Hall, Northallerton	Presentation by NYCC Emergency Planning Team - Feedback from the Parish Council questionnaires
Tues 28 April 10am – 1pm Workshop 1 – 1.30pm Lunch 1.30 – 3pm Meeting	Workshop on community resilience including input from the National Flood Forum and from local flood groups Followed by Task group meeting The Spa, Scarborough	Workshop: To learn about good practice in North Yorkshire and nationally Meeting: To discuss the conclusions of the group - Analysis of the Parish Council questionnaires
Mon 18 May	Task group meeting County Hall, Northallerton	To discuss and agree the final report and recommendations of the task group

PART TWO – REVIEW OF ROLES, RESPONSIBILITIES AND PROCEDURES

6.0 Problems of flooding in North Yorkshire

6.1 According to the North Yorkshire Community Risk Register, which provides public information about the hazards that have been identified within the county, the frequency of flooding in North Yorkshire makes it one of the biggest risks at local authority level (other major risks being pandemic flu and severe weather). There is mounting evidence that the UK is experiencing unusual and variable weather which may in part be attributable to the effects of global climate change. Models of what the climate might be like in the future suggest that events we now consider to be 'extreme' will become more commonplace.

6.2 A recent Yorkshire and Humber Regional Climate Change Adaptation Study¹ has projected climate changes across the region to the 2050s using state-of-the-art modelling techniques. It identifies the following key changes for the Yorkshire and Humber region:

- Annual average daily temperatures rising, by almost 2°C;
- Extreme hot temperatures will increase, with summer temperatures more regularly reaching 34°C;
- A reduction in annual rainfall of up to 6%, although by less in upland areas;
- Greater seasonality of rainfall, with increases in winter combined with significant reductions in summer;
- In northern and upland areas an increase in the number of extreme rainfall events;
- Dry spells (over 10 consecutive days without rain) are expected to increase in number;
- Significant reductions in the number of days of frost and snow;
- Marginal increases in winter average wind speeds, although summer and autumn speeds reduce slightly;
- Sea levels will rise by around 0.35 metres.

6.3 In North Yorkshire, over recent years, unexpected flooding has occurred in areas that haven't previously flooded. The risk to communities of being affected by a flooding incident is therefore increasing.

6.4 Flooding can generally be categorised into four types:

- a) **River flooding** – usually caused by excessive rain entering the rivers and smaller watercourses. Rivers vary in the way they respond depending on their capacity and available access to the floodplain. River flooding can largely be forecast and the Environment Agency monitors river levels. North Yorkshire has 14 main river catchments that can be the cause flooding. Selby has experienced major problems with main river flooding and an £18m flood defence improvement scheme has recently been completed. Malton experienced two bad floods in quick succession and as a result flood defences were built, at a cost of £12 million, to minimise the effects of river flooding. In 2005, excessive rainfall caused the River Rye to flood, affecting Helmsley. Flood defence options are being explored for Pickering, such as small retention

dams and land usage. A flood defence scheme for the River Skell in Ripon is currently being designed.

- b) **Coastal flooding** – caused by a combination of high tides and waves. A build up of low pressure can coincide with high tides and lead to a tidal surge which can cause serious flooding. Tidal flooding, where high tides and coastal surges cause flooding further upstream, is also a problem. Have a sophisticated tidal warning system. The Environment Agency monitors tides and issues warnings accordingly. Scarborough district has a full coastal boundary which exposes it to risk and particular areas at risk are Sandsend, Whitby, and the Foreshore Road and Spa areas of Scarborough.
- c) **Ground water flooding** – caused by water rising up from the underlying rocks or from water flowing from abnormal springs. This tends to occur after long periods of sustained high rainfall, causing the water table to rise.
- d) **Surface water flooding** – occurs when natural and man-made drainage have insufficient capacity to deal with the volume of rainfall. This is an increasing problem, particularly in urban areas and on highways. New developments can increase run-off from roads and hard landscaping, and developers are now encouraged to include green space to absorb run-off water. Much of the flooding that occurred in North Yorkshire in June 2007 was caused by excessive surface water. Areas badly affected included Gilling West, Stokesley, Norton and Malton, Filey, Thirsk, Selby, South Milford and Bolton Percy.

7.0 Flood Prevention

There have been a number of flood alleviation schemes in North Yorkshire that have reduced the flooding risk drastically for those people living near the coast, rivers and watercourses. Flood alleviation projects in the Yorkshire region are either funded nationally or through the Yorkshire Regional Flood Defence Committee's local levy programme. The local levy raises funds from local authorities to meet the cost of local schemes not eligible for national funding and is supported by matched funding from Yorkshire Forward.

The Group was concerned to know about the impact of drain and gully maintenance and dredging of rivers on preventing flooding. We were told that NYCC Highways has a programme of gully clearing and sets aside specific resources for this. All gullies are emptied twice a year. However, the clearing schedules are being reviewed and Highways are looking at different frequencies in different areas, to take account of local conditions.

Regarding dredging, except in specific circumstances, the Environment Agency tend not to use this as a means of reducing flood risk. With a man-made drain which has no natural flow, there is scope for dredging to stop debris building up. However, for rivers and watercourses, dredging is usually ineffective because the natural flow will lead to it silting up again. In fact, a flood can have the effect of scouring the river.

8.0 National Context

8.1 The Pitt Review

8.2 The review of the 2007 floods carried out by Sir Michael Pitt contained 92 recommendations, which were the result of months of evidence-gathering².

8.3 In relation to the Group's remit, the following recommendations are particularly relevant:-

- Local authorities should have a local leadership role for flood risk management.
- Inaction during the 2007 floods was exacerbated by unclear ownership and responsibilities.
- Clarifying and communicating the role of each of the [main] bodies would improve the response to flooding.
- The public need to be provided with better education and publicity about preparing for, and dealing with, the risks of flooding.
- The public need to be aware of a flooding risk before they can take action to minimise it.
- Predicting where flooding will occur and the potential consequences are vital if managers, emergency planners and responders are to reduce risk and effects of flooding.
- All upper tier local authorities should establish Overview and Scrutiny Committees to review work by public sector bodies and essential service providers in order to manage flood risk, underpinned by a legal requirement to cooperate and share information.
- People affected by the floods suffered illness (mental and physical) in large numbers.
- Sandbags are still widely regarded as an important focus for community action and they should not simply be withdrawn.
- Involving the community in local planning increases awareness and lessens the risk of fatalities and damage.
- Local authorities should coordinate a systematic programme of community engagement in their area during the recovery phase.

8.4 Government's response and the draft Floods and Water Management Bill

8.5 In December 2008 the Government supported changes in response to all the Pitt Review recommendations and published an action plan for implementing them.³

8.6 At the end of April 2009 the Government launched a consultation on the draft Floods and Water Management Bill.⁴ The draft Bill proposes to strengthen and extend existing flood and water legislation, including implementing appropriate recommendations from the Pitt Review.

8.7 The draft Bill proposes that local authorities lead on local flood risk management. It is proposed that County and unitary authorities would be responsible for local flood risk assessment, mapping and planning in relation to

ordinary watercourses, surface run-off and groundwater. They would also lead the production of local surface water management plans. There would be a duty for all relevant authorities (including water companies and internal drainage boards) to co-operate and share information.

8.8 The Group noted that a multi-agency Flood Management Working Group had been set up to take forward a joint approach to the new legislative requirements. A response to the draft Bill will be made by the County and District Councils and by the North Yorkshire Local Resilience Forum.

8.9 Both the Pitt Review and the draft Bill make it clear that success depends on greater co-ordination and co-operation between local partners. It was in this context that the scrutiny group carried out its review.

9.0 Roles and responsibilities relating to flooding in North Yorkshire

9.1 There are many different agencies that have some level of responsibility in relation to flooding.

9.2 Under the Civil Contingencies Act 2004⁵, agencies were divided into two groups; Key Responders (Category 1) and Key Co-operating Responders (Category 2). These are as follows:

Category 1
Police (incl. British Transport Police)
Fire Services
Ambulance Services
HM Coastguard
Local authorities
Port Health Authorities
Primary Care Trusts, Acute Trusts, Foundation Trusts (and Welsh equivalents), Health Protection Agency
Environment Agency and Scottish Environment Protection Agency

9.3 Category 1 responders have a statutory duty to assess the risk of emergencies and use this to inform contingency planning

- Put in place emergency plans and business continuity arrangements.
- Put in place arrangements to make information available to the public about civil protection and to warn, inform and advise the public in the event of an emergency.
- Share information and cooperate with other local responders.
- Provide advice and assistance to businesses and voluntary organisations about business continuity (local authorities only).

Category 2		
Utilities	Transport	Others
Electricity distributors and transmitters	Network Rail	Strategic Health Authorities

Gas distributors	Train Operating Companies	Health and Safety Executive
Water and sewerage undertakers	London Underground	
Telephone service providers	Transport for London	
	Highways Agency	
	Airport operators	
	Harbour authorities	

Other coordinating authorities
Government Office
Military
Voluntary Organisations

10.0 The role of the North Yorkshire Local Resilience Forum (NYLRF)

- 10.1 The North Yorkshire Local Resilience Forum (NYLRF) was set up to organise the co-ordinated response to major incidents in North Yorkshire. The Forum consists of representatives from the Emergency Services, Local Authorities, Health, Environment Agency and other professional and voluntary agencies.⁶
- 10.2 The NYLRF has proved to be effective and pro-active in developing and maintaining major incident plans and procedures as a joint capability to respond to any major incident within North Yorkshire.
- 10.3 The NYLRF is headed by the Strategic Group which is comprised of senior officers of Category 1 and other Responder agencies. It is chaired by the Chief Executive of North Yorkshire County Council. Each tier of groups is coordinated by a senior member of staff from the agency most appropriate to the subject. The NYLRF maintains a community risk register.

11.0 The current role of Local Authorities

- 11.1 The role of local authorities during an emergency is to support the emergency (blue light) services in the immediate response and to take a lead in the recovery phase to ensure that life returns to normal as quickly as possible for the community affected.
- 11.2 During the response phase local authorities can assist in the provision of reception/rest centres, short and long term accommodation, providing food, environmental health and highway services, equipment and transport, organisation of temporary mortuary facilities, provision of welfare support, media liaison and engagement and co-ordination of voluntary organisations. District/Borough councils can also provide sandbags.
- 11.3 As a Highway authority, the County Council has a role in investigating highway flooding; implementing the closure of roads and diversion routes in conjunction

with the Police and supplying appropriate signage; clearing debris from the highway; clearing blocked gullies and taking emergency action to deal with flooding as appropriate.

12.0 The role of the Environment Agency (EA)

- 12.1 The Group visited the EA's offices in York and was shown around the Flood Incident Room by Colin Atkinson, Flood Incident Management Team Leader.
- 12.2 The EA is a Departmental Public Body responsible to the Secretary of State for Environment, Food and Rural Affairs.⁷ It works to reduce the chance of flooding by managing land and river systems. It is consulted upon land usage and gives recommendations and directions to developers and planning authorities. In relation to the upper catchment areas, it makes suggestions to try to reduce run-off and the speed that water enters the river systems. In terms of maintenance, the EA has responsibility for main rivers and critical watercourses if there is a flood risk.
- 12.3 The EA also looks at solutions such as changes in land use, temporary defences, better flood warning and self-help schemes, and building and maintaining flood defences.
- 12.4 The draft Flood and Water Management Bill proposes a national strategic overview role for the EA for all forms of flooding and coastal erosion. The EA is also working more closely with the Met Office to enhance their forecasting and warning capabilities.
- 12.5 The EA has trained duty officers who monitor the weather, river and sea levels around the clock. They keep a constant check on river levels and tides by use of rain and tide gauges and flood forecasting equipment. The Group met and talked to 2 duty officers about how the monitoring and warning system works.
- 12.6 If the threat is serious, the duty officer arranges for flood warnings to be issued. In flood risk areas, if people are signed up to the Floodline Warning Direct service, they will automatically be issued with flood warnings via their phone (call or text), email, fax or pager. Warnings also go to local authorities, the police, fire, and other emergency response organisations. Warnings are also issued to the media.
- 12.7 Members were told that the joint Met Office/Environment Agency warning system would be active from April. One of the recommendations of the Pitt Review was that the Government should significantly increase the take-up of flood warning scheme.
- 12.8 The current flood warning scheme is available to people living in a flood risk area. However, take-up has been relatively low and the system is under review. It is expected that a new scheme will be launched in the Autumn 2009 and this could take the form of an opt-out scheme for people living in flood risk areas rather than people having to opt in.

12.9 From July 2009, local authorities will be able to be included as 'professional partners' in the advance warning scheme, which means they can get a five day advance warning of severe weather. In addition, Elected Members and other community representatives can receive an 'area of interest' warning, which means they can receive flood warnings for areas in which they do not live. To sign up for this, Members would need to contact the EA with their address and telephone number.

13.0 The role of the Water Authority

13.1 The local water authority, in this case Yorkshire Water, is responsible for all of the public sewer systems in the region but it is not responsible for private sewers, which are the joint responsibility of each property that drains into them.

13.2 During a flood, the role of the water authority is to ensure that water supplies are not interrupted and to work closely with the Environment Agency throughout the event to prevent environmental damage. Yorkshire Water also runs and maintains pumping stations during the flood and pumps out excess water.

14.0 The role of the Internal Drainage Boards (IDBs)

14.1 IDBs are independent bodies that have general supervision over all matters relating to the drainage of land within their area. There are numerous internal drainage boards across North Yorkshire that maintain, improve and construct new works for the purposes of land drainage. They may also undertake flood defence works on ordinary watercourses within their district (that is, watercourses other than 'main river').

15.0 The role of individuals

15.1 Individuals are responsible for the drainage of their own land, and for accepting and dealing with the natural flows from adjoining land. A riparian owner (who lives beside a river) must accept flood water flowing through his land, even if caused by inadequate capacity downstream. A landowner can be required by the relevant drainage board, under statute law, to carry out repair and maintenance work to a watercourse where he/she has a legal responsibility to do so, but has failed to carry that out responsibility.

16.0 The role of the Emergency Planning Unit (EPU)

16.1 The Group was given a briefing by Robin Myshrall, Head of the North Yorkshire EPU and other members of his team.

16.2 The EPU has a central co-ordinating role in planning for potential crises in conjunction with many partner agencies such as the District/Borough Councils, utility companies, County Council Directorates, emergency services, the Environment Agency, voluntary groups and local communities. The plans include setting up reception centres, dealing with the media, coastal oil pollution, crises relating to schools and many others. All of these enable the County Council to respond quickly and effectively to any incident that may affect the local community. The Unit operates a duty officer system 24 hrs a day, 365

days a year, providing the local authority's link with the emergency services and supporting them where required. Following an incident, the EPU work with partners to debrief, review plans and discuss lessons to be learnt and included in future planning.

- 16.3 The North Yorkshire EPU covers emergency planning for the County Council and six districts (excluding Harrogate district). Harrogate retains its own emergency planning facility.

17.0 The role of the Major Incident Response Team (MIRT)

17.1 The Group heard about the work of the Major Incident Response Team (MIRT) from its Manager, Paddy Chapman. MIRT is a county-wide service that can be accessed by the County Council, District/Borough Councils and emergency services. Paddy leads a team of 33 volunteers drawn from across the caring community who offer practical and emotional support to individual and communities in the aftermath of a major incident. The aim of the team is to support and assist people to regain control of their lives. The team is supported by a network of carers and befrienders, and it works closely with voluntary organisations.

17.2 During the Filey flood incident, MIRT members fed back information from members of the public which informed officers who were planning the response and recovery. The team can therefore provide a link between the community and the emergency responders. However, MIRT is a limited resource and in the case of multiple emergencies in different parts of the county, it would be deployed on the basis of highest priority.

18.0 The role of the NYLRF Joint Media Warning and Informing Group

18.1 The Group spoke to Helen Edwards, Head of Communications at North Yorkshire County Council about the North Yorkshire Joint Media Warning and Informing Group. The Group is made up of a range of representatives who provide communications advice and support on warning and informing the public about emergencies.

18.2 Helen said that the Group would be updating the communications plan and mapping all channels of communication. She said that the Group had not carried out a full simulation of an emergency situation that involved all media, but this was something that would be done. She said that elected members would need to be integrated into the communications plan, as they were often the first point of call for disseminating information in an emergency.

19.0 The Role of the Elected Member

19.1 Councillors are well placed to understand the needs and wishes of local people and balance those against the demands of professional officers and community groups. How this relates to flooding matters is less straightforward, especially as the relationship between the elected member and flood planning and recovery has attracted little research or guidance.

19.2 The Group had a discussion about the possible roles and issues in this context including: -

- Encouraging constituents and community groups to engage constructively with agencies.
- Representing communities in discussions and negotiations, brokering agreements and feeding local intelligence and information into flood planning.
- This understanding of the flood planning process and being informed of its results, will assist in efforts to urge communities to develop Community Emergency Plans.
- A responsibility to promote and spread the message that communities can help themselves particularly on the benefit of domestic self help measures to mitigate the damaging effects of flooding.
- If appropriately informed, the local Member can be one of the contact points to help raise morale and communicate and cascade information. The flood warning scheme for example is a useful tool in helping communities to prepare for severe weather and flooding.
- To consider flooding issues at a strategic level, particularly in the light of Pitt's proposals around enhanced scrutiny of flooding activity.

19.3 The Group recognised however member involvement in flooding matters is not without its complications:-

- It became clear that the perception of elected members, what they do and their responsibilities, can differ from agency to agency.
- Being seen to be a "leader" on flooding matters in a community could be an onerous burden, especially when considering the competing demands and expectations of constituents, community groups and agencies.
- There are concerns about continuity; ward representatives change.
- It is unrealistic and probably unworkable for a local elected representative to have any type of a co-coordinating type role in the recovery phase because of the availability of the local member when an incident breaks, often at very short notice. The recovery phase cannot wait.
- Rescue is a specialised activity and there are Health and Safety Issues with taking on a more "advanced" role. There was however very much a case for the local Member being knowledgeable about the role of the MIRT and some discussion about mutual advice and support.

19.4 This raises the need for regular briefing and training. In general terms, joint County and District/Borough Council training on emergency planning would be

beneficial, and should be a key part of the new member induction programme. The group advocates refresher training for existing members.

- 19.5 Looking further ahead, Multi-Agency Flood Plans will provide agencies with a wealth of information around local flooding issues. Whilst it is not necessary or practical to share all this information, it could form the basis of more focussed training and information for those Members who represent wards which are identified as “at risk”.

20.0 The role of Insurance Companies

Insurance companies have an increasingly important role to play in helping people to better manage the risk of flooding to their properties.

The Group contacted the Association of British Insurers (ABI) with a number of questions regarding insurance in flood-risk areas. We found that the ABI is starting to work more closely with the Environment Agency to share information about claims in high risk areas and is also working with the National Flood Forum to prepare guidance for property-owners on resilient reinstatement of properties.

The response from the ABI is reproduced at **Annex 1**.

21.0 Multi-agency flood plans

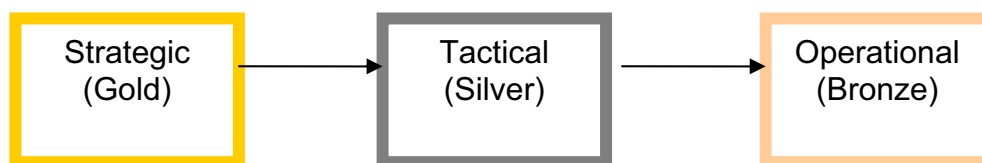
- 21.1 The Group heard from Wendy Muldoon in the EPU about multi-agency flood planning in North Yorkshire. Selby, Ryedale and Harrogate areas currently have a multi-agency flood plan in place, and Craven, Scarborough, Hambleton and Richmond are in the process of developing plans.
- 21.2 The Selby plan includes a community risk summary sheet that shows the flooding history of an area, properties at risk, vulnerable properties and critical infrastructure. It also gives information on flood defences and alleviation measures and flood warnings given for the area. The plan is to be exercised later this year, and the Group was reassured that all multi-agency flood plans are exercised on a regular basis. Future flood plans will consider the role that voluntary and community services (VCS) play. At present, there is only one VCS representative in the planning process, but it is expected that other major VCS organisations will become involved, and VCS representatives are named in other plans (Rest Centre Plans, Community Plans, etc).
- 21.3 The Group also heard from Stephanie Renno, who works in Flood Incident Management based at the Environment Agency. She explained that her role was to facilitate the creation of multi-agency plans and that her post was funded by a local authority levy from the Regional Flood Defence Committee.
- 21.4 Stephanie explained that Local Resilience Forums are encouraged by the Department for Environment, Food and Rural Affairs (Defra) to develop a specific flood plan to complement other plans and to provide more detail to generic Major Incident Plans or Strategic Emergency Response Plans. She said

that North Yorkshire is ahead of the game in terms of partners sharing information and good practice.

21.5 In drawing up a plan, partners are required to go through a self-assessment process. The assessment has identified that more information is needed about the risk of surface water flooding and identification of critical infrastructure. There is also a need for more specific information in the identification of vulnerable people. The focus is on partners taking a community-based approach to planning. She said that it was expected that Defra would assess the plans in terms of percentage of readiness.

22.0 Response, Control and Co-ordination of a Major Incident

22.1 Fundamental to successful response, control and co-ordination of a major incident is the liaison involving responders. There is a recognised management structure, based on three levels of command.



22.2 The need to implement one or more of the management levels will depend on the nature and size of the incident. Each responding organisation will have its own command structure that may fit the above, but it is responsible for its own resources.

22.3 However, it is necessary to have multi-agency working at Silver and Gold level in response to a major incident. Each agency will liaise fully and continually with each other in the incident.

22.4 If the incident is extensive, a Silver Command Centre will be set up, initially chaired by the Police. This group is responsible for a single incident or discrete geographical area. If there are numerous flooded areas within North Yorkshire there could be the need for a Strategic level of management, as in November 2000, to ensure the Strategic priorities are achieved

22.5 The multi-agency Gold will be aware of issues regionally/nationally, and will consider long term community involvement, enquiries and investigations.

22.6 Each organisation will have been involved in drafting their own plans or have been engaged with the Local Resilience Forum on writing/testing/exercising multi-agency plans. These plans, procedures and systems are understood by responding agencies. Due to each incident being different i.e. scale/time frame etc, plans and systems have to be flexible and adapted during the incident.

22.7 The example at **Annex 2** shows some of the current plans available when responding to a flooding incident.

PART THREE – INFORMATION FROM OTHER LOCAL AUTHORITIES

23.0 Lessons learned from severe flooding incidents

23.1 The Group spoke to officers and elected members in two other local authority areas that had experienced recent severe flooding – Hull and Morpeth. The Group wanted to find out about the lessons they had learned from their experiences.

24.0 Case study 1 – Hull

Hull is a unitary authority and it manages most of its own housing stock. It is a beacon authority for emergency planning. In June 2007, Hull experienced large-scale flooding which had a severe and lasting impact.

*Two square miles of the city flooded
Over 8,500 homes were damaged by the flooding
91 (of 99) schools were affected
1300 business were affected*

In Hull, 95% of the land is at or below sea level and the city also acts as drainage for the surrounding East Riding. In ordinary circumstances, excess water is pumped into the Humber to avoid flooding, but the volume was too great for this to be effective and a number of pumps failed altogether.

*The Council organised for teams of people to go around neighbourhoods to ask people about their needs, so that the most vulnerable people could be identified and their needs prioritised. People's needs were classified into 3 categories:-
Gold – Over 60 or disabled or single parent of child under 5
Silver – not insured
Bronze – everyone else*

At the time, there was no comprehensive information on where vulnerable people were, but Hull now maintains a register, which includes data from social services and Council Tax. They have not experienced difficulties with data sharing/data protection. A Flood Advice Line was set up. Council tax was suspended for flooded properties.

In total, 91 out of the city's 99 schools flooded which meant that 114,000 school pupil days were lost overall. It took until February 2008 for all pupils to be back in their own schools. Strong partnership with Children's and Young People's services was essential

Review of the flooding

A strategic drainage partnership has been established, and this is attended by the Chief Executive of Yorkshire Water. All drainage is in the process of being mapped and risk assessed. Hull CC is part funding a PhD for an engineer to assist with this process.

New-build schools are being developed to be more flood resilient, as are council properties during renovation.

A protocol has been set up for releasing staff resource for managing an emergency and for extended periods following the emergency.

A campaign has been launched to promote self-help amongst residents so that they are prepared for any future flooding. Questions have been put to the Council's customer panel to find out how informed residents feel about the council's role in a flooding emergency and also how aware people are of their own role in preparing for flooding.

The council is looking at how insurance patterns are changing following the floods, to see if take-up has increased.

Hull CC had some difficulty engaging the voluntary and community sector immediately after the floods due to health and safety/contractual issues. They have since developed a process to fully utilise and involve this sector.

Hull CC have issued a booklet to every household on planning for emergencies

Some homes in Hull are having an ongoing problem with secondary flooding because the water table rose during the floods and hasn't returned to normal. The council is conducting a study to find out the scale of the problem, as 30 new cases per month are emerging.

There have been massive landfill costs from clearing flooded properties.

The impact on the physical and emotional health of people affected has been significant, but it has not been easy to measure because there was no baseline to compare it with.

25.0 Case Study 2 - Morpeth

In 2008, Morpeth experienced severe flooding with over 1000 properties flooded, and the loss of community infrastructure such as GP surgeries and the leisure centre

Castle Morpeth District Council (now part of the new unitary authority Northumberland County Council) had a Recovery Coordination Group and a recovery document. This meant that there was a clear handover from Police to local authority and there were named individuals to lead various working groups from a number of partner organisations. The group had explicitly given space for the voluntary sector to take a full role as partners.

The day after the flood, the group had skips on affected streets and the 'Green and Clean' teams were clearing up. They had set up a flood information centre in the middle of the affected area and had issued and delivered the first of the daily flood bulletins giving basic health, safety and support information.

For a period of time after the flood, the group continued to replace skips for as long as they were needed. The flood information point grew with participation from partner agencies and voluntary groups, and churches worked together to provide a welfare drop-in centre.

The British Red Cross coordinated the voluntary sector activities, and this ranged from moving furniture and cleaning up (Lions and Rotary) to emotional and psychological support (Red Cross) to advice on financial and insurance matters (Citizens Advice).

Morpeth stressed the importance of having a people-centred recovery. They said that the local authority's role in recovery is to provide facilitative leadership, but the voluntary and community sector is key to assisting the community to recover.

26.0 PART FOUR –COMMUNITY FLOOD PLANNING

27.0 Information Gathering

27.1 The Group gathered evidence on community flood planning in two ways.

27.2 Firstly, it sent a questionnaire to parish and town councils (through the Yorkshire Local Councils Association email network) asking whether they had a local emergency plan and/or a local flood group. 68 parish and town councils responded. There are 587 parish and town councils in North Yorkshire, of which approximately 85% are members of the YLCA. This means that the response rate to the Group's questionnaire was approximately 13%.

27.3 Of the parish and town councils that responded, over 50% had experienced flooding in their local area. 27% of parish and town councils have a community emergency plan or flood plan and 14% have a flood group for their area. The chart at **Annex 3** gives a summary of the results.

27.4 The Group also discussed community flood planning with representatives of flood groups from two areas that have recently experienced problems with flooding; these were Boroughbridge and Filey.

27.5 The representatives from the Boroughbridge Flood Group said that in their view, where a community emergency plan is in place, the flood group would like more delegation of powers for the community to act. One example given was the power to make temporary road closures to stop vehicles going down flooded roads and causing a backwash onto properties, thereby making the impact worse for those properties.

27.6 Filey experienced a major flood in July 2007 but had previously had some localised flooding. The Flood Working Group has been actively working with partners to protect the town against future flood events, and their efforts were recognised in the Pitt Review. The Group has carried out two residents' surveys in the areas known to have been affected. On both occasions the results have been mapped by the local authority and areas of flooding identified. The evidence from the surveys was used initially to secure Government funding to engage consultants to investigate the causes of flooding and recommend solutions. Scarborough Borough Council then secured £226k for the next stage of the consultants' work, which is ongoing. It is expected that when this is completed, a funding bid for the construction of flood alleviation measures will be prepared and submitted.

27.7 Scarborough Borough Council was also awarded approx. £46k by the Red Cross to assist those affected by the 2007 flood. The Borough Council invited the Flood Working Group to manage and arrange the distribution of the money. The majority of the fund was spent on flood resilience measures for the individual properties – mainly air brick and door barriers.

27.8 The representative of the Filey Flood Working Group felt that the local knowledge offered by long standing residents is as important as professional input in a flooding incident. He cited as an example that the school where Silver Command was set up during the 2007 flood was itself subject to flooding and that, had local knowledge being tapped into, a more suitable venue might have been chosen.

28.0 Assessment of Technical Capabilities

28.1 One of the Pitt Review recommendations related to the need for local authorities to assess and, if appropriate, enhance their technical capabilities to deliver the wide range of responsibilities in relation to local flood risk management.

28.2 The Group recognised that if local authorities are to fulfil their lead role on flood risk management and also meet public expectations, they need to have the necessary technical resources. Whilst it was not within the Group's remit to scrutinise resourcing issues, the Group would suggest that this be taken on board by County and District/Borough Councils, subject to the outcome of the considerations about the Draft Floods and Water Management Bill.

PART FIVE – COMMUNITY INVOLVEMENT IN FLOODING

29.0 Citizen Engagement in Flooding: Context

29.1 Over the past 10 years, participation policy and practice in the UK has undergone a dramatic shift. Local government now routinely consults citizens about services and other issues and the community and voluntary sector is included in local partnership arrangements.

29.2 Legislation which came into force on 1 April 2009 has imposed a new statutory duty on local authorities – to inform, consult and involve citizens and communities in the design, delivery and assessment of services⁸. Local authorities are expected to engage with local people in the design and delivery of services.

29.3 This means that authorities consider, as a matter of course, the possibilities for provision of information to, consultation with and involvement of *representatives of local persons* across all authority functions.

29.4 Authorities should provide *representatives of local persons* with appropriate information about services, policies and decisions which affect them or might be of interest to them. The provision of information should support *representatives of local persons* to have their say and get involved where appropriate.

29.5 Sir Michael Pitt's comprehensive appraisal of all aspects of flood risk management was in large measure shaped by the extensive consultation he undertook with representatives but particularly with those people whose homes and lives were so badly affected.

Sir Michael 'has rightly put the needs of ordinary people at the heart of his Review'

- 29.6 Raising awareness, communicating on flood risk issues and especially making progress on community engagement builds community and personal self resilience. Pitt maintained this that can contribute significantly to preparedness and response activity, covered in his Recommendation 76 which states that by the end of 2008:

Local authorities should coordinate a systematic programme of community engagement in their area during the recovery phase.

30.0 Attitudes and Perceptions to Community Engagement in Flooding

- 30.1 The Group encountered a range of attitudes towards the notion of community engagement with flooding issues, albeit mostly positive. Where individuals were negative or pessimistic, more often than not they quoted real problems in tackling apathy and disinterest. These were also concerns relating to lack of staff continuity, about being adequately trained for public participation work, resource worries and the possibility of increasing community anxiety and the likely economic blighting of an area.
- 30.2 The Group spoke to several people who agreed that increased community participation is all part of the urgent need for people to recognise the seriousness of the greater likelihood of flood risks. EA research⁹ suggests there is a lack of appreciation of the real consequences of a flooding incident, especially from those who have not suffered from such an event. Yet the public cannot be treated as one target group, as in reality they are made up of many different groups with different perceptions.
- 30.3 These differences cannot be wholly attributed to a difference in understanding but more with a difference in perception or reaction to the level of risk identified. Generally speaking those who experience flooding more frequently are more able to accept and respond to the risks. This is of course only to be expected, but for the Group it means there is every opportunity and reason, to help facilitate communities to respond to flood risk.

31.0 Helping Communities to Help Themselves

- 31.1 Other local authorities the Group looked at provided demonstrable evidence of the benefits of an inclusive approach, particularly in terms of access to local intelligence and keeping up morale.
- 31.2 The National Flood Forum¹⁰ provides support and advice to communities and individuals that have been flooded or are at risk of flooding. It is run by people who have experienced the trauma, loss and frustration that go with flooding or have first hand experience of supporting the victims of flooding both during and after the event.
- 31.3 Its Chief Officer Mary Dhonau commented to the Group that working with and encouraging local community self-help groups can help reduce flood risk. This

claim, backed by joint EA/Defra research¹¹ suggests citizen engagement can be particularly successful in developing flood response plans (where local community members might for example take responsibility to act as flood wardens and cascade flood warning information throughout their community). (There is an opportunity to do this as part of the development of multi-agency flood plans across the county).

- 31.4 The EPU provides a template Community Emergency Plan document that can be a focus for community action and a useful source of information for local people and emergency responders when an incident occurs. The EPU teams will visit the parish council or local group to discuss the plan, and give assistance to prepare a plan, but it is then down to key people in the community to take it forward.
- 31.5 Research suggests by engaging with and providing members of the public who are at risk of flooding with the right information they can take individual actions to mitigate the effects of serious flooding incidents. Mary Dhonau stressed the many practical steps that homeowners can take to reduce the cost of flood repairs and speed up recovery times. As part of efforts to raise awareness of flood risk and community resilience, she believes the emphasis should be on how individuals and communities can take self-help measures to protect their property.
- 31.6 Mary said she felt that technology has moved beyond sandbags. There is now a range of simple and relatively cost-effective methods of keeping floodwater out of property during a short-lived flood. Recently the British Standards Institute¹² (BSI) has developed a "Kitemark" Certification Scheme for such products which include such things as door boards, flood barriers and air brick covers. Many are expected to take the place of traditional sandbags in certain situations.
- 31.7 The National Flood Forum produces an excellent fact sheet¹³ which outlines the steps that homeowners living in flood risk areas can take to minimise the damage caused if flooding occurs.

32.0 Public Involvement in the Flood Planning Process

- 32.1 Effective public participation and involvement can help build trust and understanding between public and professionals. There is great potential to capitalise on the ability of community networks and champions to gather information that can then feed into the development of plans and appropriate risk communication strategies and assist in flooding response. Defra research highlights examples where community groups have identified possible causes of flooding, for example a local group in the Sussex area conducted an audit of blockages in the river that could have contributed to the flooding that affected their properties.
- 32.2 The LRF exercises leadership in flood response and recovery matters but by necessity however, much of the LRF attention is internal facing and is not easily shared with the public. The LRF does however work closely with volunteer groups to build capacity. These voluntary agencies are also a source of expertise in flood risk planning.

- 32.3 There are examples of agencies engaging at a local level, communicating information on flood risk issues and listening to their concerns. Self-help and community pressure groups are not formally included in the LRF Multi-Agency Flood planning process. When groups do exert influence on flooding matters, the Group's impression was that it tends to be as a result of direct contacts and relationships with individual agencies.
- 32.4 These liaison arrangements are important if the messages of self-help, community and personal resilience are to be got across. Statutory agencies cannot help everyone.
- 32.5 The North Yorkshire Strategic Partnership and Local Strategic Partnership could also have a useful role to play in efforts to raise general public and agency awareness of community resilience and in so doing encouraging third sector involvement.

33.0 Community Groups in North Yorkshire

- 33.1 There are flood action community groups in operation throughout the county in various forms, most obviously and typically within areas which have experienced flooding. It was encouraging from our the Group's consultations with communities involved in genuine participation such as Boroughbridge and Filey that individuals have begun to own the flood risk environment and had developed not just a sense of trust generally towards agencies and organisations in their localities, but with the staff they came into contact with.

PART SIX – FUTURE SCRUTINY OF LOCAL FLOOD RISK MANAGEMENT

34.0 Scrutiny of Flooding Matters

- 34.1 Over the last few years the NYCC Safe and Sustainable Overview and Scrutiny Committee has received regular updates on flooding matters. It has not to date been thought necessary therefore for the Committee formally to examine in depth major flooding events that have happened in North Yorkshire.
- 34.2 The Pitt Review recommends that scrutiny at the local level is very important and there are two recommendations that specifically apply to this in the Pitt Report.

Recommendation 90: All upper tier local authorities should establish Oversight and Scrutiny Committees to review work by public sector bodies and essential service providers in order to manage flood risk, underpinned by a legal requirement to co-operate and share information

Recommendation 91: Each Oversight and Scrutiny Committee should prepare an annual summary of actions taken locally to manage flood risk and implement this Review, and these reports should be public and reviewed by Government Offices and the Environment Agency.

- 34.3 In its response, the Government supported these recommendations, but the draft Flood and Water Mgt Bill does not explicitly mention it. It seems unlikely therefore that there will be a prescribed process to adhere to; nevertheless there is an expectation that flooding matters will be on the scrutiny agenda.
- 34.4 As lead authority, it falls to NYCC to identify an approach within its overview and scrutiny arrangements. As things stand, this can be within an existing committee or committees: it does not have to mean establishing a new or stand-alone committee.
- 34.5 Flooding is an area where many agencies and organisations are involved, at national, regional and local level so the task group fully understands the case for cross cutting scrutiny. In the absence of guidance the Group is of the opinion that as a joint County and District/Borough scrutiny exercise, this review had worked well and could be adopted for future projects looking at issues that affect the County as a whole.

PART SEVEN – SUMMARY, CONCLUSIONS AND RECOMMENDATIONS FOR NYCC EXECUTIVE

35.0 Preparedness for Demands of the Pitt Review and Impending Legislation

35.1 The Group has reviewed the Selby multi-agency flood plan; arrangements for emergency planning; the Local Resilience Forum structure; and the Environment Agency's flood warning system. It has also considered the lessons learned by other local authorities and our own communities that have experienced severe flooding.

35.2 RECOMMENDATION 1: To note that, having carried out the review, the Task Group's view is as follows:-

- **The structural framework for flood planning, which is lead by the North Yorkshire Local Resilience Forum, is sound.**
- **Operational relationships between agencies are productive and this will stand them in good stead for the proposed new statutory duty for all relevant authorities to co-operate and share information. Ryedale, Selby and Harrogate have multi-agency flood plans in place, and plans for Scarborough, Hambleton, Richmondshire and Craven are being developed.**
- **The group's assessment is that the building blocks are in place in North Yorkshire for multi-agency working.**

36.0 Clarity of Roles and Responsibilities

36.1 Members looked at how agencies work, their structures and the relationships between them at both a strategic and operational level. From a professional perspective, the roles are clear to representatives of those organisations.

36.2 From a member of the public's perspective however in a flooding incident it is not always apparent who is 'in charge', particularly after the immediate response phase gives way to the recovery phase. Agencies said that they tend to take on issues that are not formally their responsibility or where there is overlap in order to provide a good service to the public. The district/borough councils have a significant role in the recovery, but they do not have a responsibility to take the overall lead.

36.3 It is of course not uncommon for the public to be unaware of the differing responsibilities of public sector bodies and in the main this has no impact upon the service received. For example, there can be an assumption that County Council is responsible for all drainage, not just highways drainage and it is easy to see how this can give rise to unrealistic expectations about what can be done. However, communities and people in the grip of a flooding situation can be desperate for re-assurance and guidance, so from their perspective, information and understanding of the right person to contact is vitally important.

36.4 RECOMMENDATION 2: To clarify roles, the following be considered for action:-

- **That agencies involved in flood planning review how they inform the public about their own and other agencies' roles and responsibilities in a flooding situation.**
- **That agencies continue to take opportunities to explain the roles and responsibilities and give contact details, when engaging with community groups.**

36.5 The Group recognised that development control is a central part of the process of managing flood risk, by avoiding development in risk areas and, where building does take place, by ensuring that risk is reduced. The Pitt report recommended that where development is allowed on the floodplain, buildings should be made more flood resilient. Local Planning Authorities must take account of Planning Policy Statement 25 which sets out Government policy on development and flood risk. Planners and developers clearly have an important role to play, the Group discussed how planning authorities can influence this. Because of time and resource constraints the Group was unable to look in depth at the issue but Members felt that this would benefit from further scrutiny.

36.6 RECOMMENDATION 3: That the role of Local Planning Authorities in flood risk management be considered as a topic for further scrutiny review.

37.0 Flood Planning and Community Engagement

37.1 The Group's research shows that several parishes have flood groups and community emergency or flood plans in place. The Group also heard from flood groups that local intelligence could be a vital part of the flooding planning process.

37.2 Where communities and flood groups have developed local flood response plans, these can potentially provide useful risk management information on local conditions and on the voluntary and community resources that might be available in the recovery phase.

37.3 RECOMMENDATION 4: That in respect of community engagement, agencies involved in flood planning be requested to:-

- **ensure that community-level planning both integrates with and influences, where appropriate, higher-level plans (such as multi-agency flood plans and specific response plans)**
- **ensure that the intelligence and views they get from engagement with communities and their representative groups are fed into and inform the Local Resilience Forum's work.**

38.0 Self-Help measures

38.1 Agencies cannot help everybody. There are many things individuals can do to protect themselves and their property ranging from simple devices to improved design features. For example, new BSI accredited products are on the market which can make a huge difference when combating the worst effects of a flooding incident

38.2 RECOMMENDATION 5: That agencies involved in flood planning offer advice on how individuals and communities can take self-help measures to protect their property as part of ongoing engagement with communities.

39.0 Action during the Recovery Phase

39.1 The group praised the excellent work done by MIRT in an emergency situation in restoring morale, keeping people informed and dealing with the emotional and traumatic effects of flooding. Many people need support in a flooding situation but it can be a particularly difficult time for some individuals who might be vulnerable for many reasons. The group encountered imaginative ways of identifying these individuals but recognised there were certain barriers around disclosure of personal information etc.

39.2 RECOMMENDATION 6: That every effort is made to overcome barriers to sharing information about vulnerable people so as to improve support to them in a flooding incident.

39.3 The Group valued the contribution of the voluntary and community sector during and after a flooding incident, and helping the community to recover in the longer-term. The third sector is of course very varied and diverse and a recommendation which called for greater involvement would be too simplistic and unhelpful. There may be potential advantages however, so we suggest further thought be given to this.

39.4 RECOMMENDATION 7: That the North Yorkshire Local Resilience Forum consider further how best to involve the voluntary and community sector as a key partner in the multi-agency flood planning process.

40.0 Elected Member and Community Leadership Issues

40.1 Elected Members All of which raises the questions of training and development needs. In general terms, joint County and District/Borough Council training on emergency planning would be beneficial, and should be a key part of the new member induction programme. The group advocates refresher training for existing members.

40.2 Looking further ahead, Multi Agency Flood Plans will provide agencies with a wealth of information around local flooding issues. Whilst it would be neither sensible nor practical to share all this information, it could from the basis of more focussed, bespoke training and information for those Members who represent wards which are identified “at risk

40.3 RECOMMENDATION 8: That joint briefing sessions on emergency planning for County and District councillors are arranged on a regular basis. In particular, all new County and District councillors should be offered a place on one of these briefings as part of their induction programme.

Glossary of flooding terms

Catchment - The area of land drained by a river and its tributary streams. Sometimes referred to as the 'drainage basin'.

Culvert - A covered channel or pipeline.

Drain - A pipeline, usually underground, designed to carry wastewater, and/or surface water from a source to a sewer.

Floodplain - Any area of land over which water flows or is stored during a flood event or would flow but for the presence of flood defences.

Gully - A structure to permit the entry of surface water runoff into a sewerage system.

Highway - Any road, track, bridleway or public footpath in private or public ownership that is not associated with an individual property.

Main River – A watercourse shown as such on a main river map. This can include smaller watercourses of local significance.

Ordinary Watercourse – A watercourse that does not form part of a main river. It includes every river, stream, ditch, drain, cut, dyke, sluice, sewer (other than a public sewer) through which water flows and does not form part of a main river.

Planning Policy Statement 25 (PPS25) – This documents sets out Government policy on development and flood risk. The aims are to ensure that flood risk is taken into account at all stages in the planning process to avoid inappropriate development in areas at risk of flooding, and to direct development away from areas of highest risk.

Private sewer - A sewer for which responsibility is not vested in the sewerage undertaker. Generally it is collectively owned and maintained by the owner(s) of the building(s) it serves.

Public sewer - A sewer for which responsibility is vested with the sewerage undertaker to maintain it.

Pumping station - A structure containing pumps, piping, valves and other mechanical and electrical equipment for pumping water, wastewater and other liquids.

Risk - Risk is a combination of the chance of a particular event, with the impact that the event would cause if it occurred. Risk therefore has two components – the chance (or *probability*) of an event occurring and the impact (or *consequence*) associated with that event.

Runoff - Water from precipitation that flows off a surface to reach a drain, sewer or receiving water.

Sewage - Wastewater and/or surface water conveyed by a drain or sewer.

Sewer - A pipe or conduit that carries wastewater or drainage water serving more than one property.

Sewerage system - A network of pipelines and ancillary works that conveys wastewater and/or surface water from drains to a treatment works or other place of disposal.

Sewerage undertaker - An organisation with the legal duty to provide sewerage services in an area. In England and Wales these services are provided by water service companies.

Unadopted or Private Sewers – Sewers which are not owned by the sewerage undertaker are likely to be unadopted and privately owned.

Watercourse - A natural or artificial channel for passage of water.

Acknowledgements

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Geoff Craggs	Boroughbridge Town Council
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Deborah Hugill	North Yorkshire County Council
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Wendy Muldoon	North Yorkshire County Council
Robin Myshrall	North Yorkshire County Council
Arthur Philps	Association of British Insurers
Alan Purdue	Castle Morpeth Borough Council
Stephanie Renno	Environment Agency
John Riby	Scarborough Borough Council
Kay Ritchie	North Yorkshire County Council
Mike Roberts	North Yorkshire County Council
Jonathan Spencer	North Yorkshire County Council
Ian Strong	Yorkshire Local Councils Association
Mike Thompson	Selby District Council
Denise Wilson	Adult and Community Services
Simon Wright	North Yorkshire County Council

Annexes

Annex 1 – Response from the Association of British Insurers to questions put by the Flood Scrutiny Group

Annex 2 – Diagram showing the current plans available when responding to a flooding incident.

Annex 3 - Results of the Survey of Local Flood Planning in North Yorkshire

Annex 4 – Structure of the North Yorkshire Local Resilience Forum

References

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- ¹ Yorkshire and Humber Regional Adaptation Study www.adaptyh.co.uk/home.htm
 - ² Sir Michael Pitt Report www.cabinetoffice.gov.uk/thepittreview
 - ³ The Government's Response to Sir Michael Pitt's Review of the Summer 2007 Floods www.defra.gov.uk/enviro/fcd/floods07/Govtresptopitt.pdf
 - ⁴ Draft Flood and Water Management Bill www.official-documents.gov.uk/document/cm75/7582/7582.pdf
 - ⁵ Civil Contingencies Act 2004
www.opsi.gov.uk/Acts/acts2004/ukpga_20040036_en_1
 - ⁶ NYSP web site www.nysp.org.uk/html/top-links/north-yorkshire-resilience-forum/
 - ⁷ The Environment Agency www.environment-agency.gov.uk/
 - ⁸ Local Government and Public Involvement in Health Act 2007
 - ⁹ Community and public participation :Risk Communication and Improving Decision Making in Flood and Coastal Defence *Authors:* Jeremy Richardson, Joanne Reilly, Peter J. S. Jones,
www.homepages.ucl.ac.uk/~ucfwpej/pdf/SWKconf%20paper.pdf
 - ¹⁰ National Flood Forum Web Site www.floodforum.org.uk/
 - ¹¹ Improving Community and Citizen Engagement in Flood Risk Management Decision Making, Delivery and Flood response <http://publications.environment-agency.gov.uk/pdf/SCHO1005BJTC-e-e.pdf>
 - ¹² BSI website www.bsi-global.com/en/?lang=_e
 - ¹³ NFF Fact Sheet Flood Resilient Homes What homeowners can do to reduce flood damage www.floodforum.org.uk/infoanddownloads/abiflood_resilient_homes.pdf

**Response from the Association of British Insurers
to questions put by the Joint Flood Scrutiny Group
re. flood-related insurance**

1. Why do insurance companies not reinstate with flood-proof flooring, raised electrical sockets etc?

Insurers are generally willing to reinstate properties using resilient measures such as these, where they are cost-neutral or where policyholders are willing to pay any increased costs. Raising electrical sockets can be cost-neutral where for example plasterboard is being replaced and wiring is fed from above. However policyholders do not always find this acceptable. Also we agree that more needs to be done to ensure all property owners are aware of and consider the options.

2. To encourage householders to build resilience in to their homes, does the insurance industry produce a list of approved flood resistant or resilient measures/products that people can use in their homes? Is there an incentive for homeowners to use these, such as reduced premiums?

There isn't any list as such because generally we are dealing with items of individual choice. However we have produced a booklet in conjunction with the National Flood Forum explaining what the options are, which is available at <http://www.abi.org.uk/BookShop/ResearchReports/Flood%20Repair%20Doc%201.pdf> The National Flood Forum also list products in their Blue Pages, which can be access from their web site.

Insurers try to charge premiums that reflect the risk of future flooding although this depends on obtaining information to help understand what this is and it may be more than policyholders have previously being paying. Where property owners can supply an independent professional opinion on the impact of any measures taken to reduce the future flood risk, insurers are happy to take this into account in assessing terms. Even when an independent professional opinion on this isn't available, they will consider any information on this that can be supplied. Keeping water out of a home is difficult and property owners are always advised to take independent professional advice on this. Government and insurers want to encourage development of expertise in producing Flood Risk Mitigation Surveys to help property owners, by those professionally qualified and experienced in carrying them out. This and what property owners should ask for in such surveys, is more fully explained in the following document prepared by government

<http://www.defra.gov.uk/environ/fcd/adaptationandresilience/floodgrantguidance.pdf>

3. What is the position if homeowners were, on their own initiative, to reinstate their homes with more flood-resilient products – how would their insurance cover be affected?

See above – they are advised to seek professional advice in doing this, and this advice should include an assessment on the impact the measures will have on the future flood risk. If they supply this to insurer, they will be happy to take this into account in assessing the terms for future flood insurance.

4. Do insurance companies take into account risk of a second or third claim as part of the risk calculation in order to reach a more realistic long-term figure i.e. to offset initial extra cost of flood proofing?

I'm not sure what is intended by the question. If the question is 'Will insurance companies, in reinstating properties following insured damage, pay to flood-proof properties to avoid having to pay more for claims for future damage, then that is only possible if the measures are cost-neutral. They can only pay for claims based on the level of cover that has been purchased. If there is a risk of further flood damage then the policyholder must pay a premium that reflects this future risk. If however they take action to reduce that risk, then of course this should reduce the future premium. However as a rule, insurers don't pay to reduce the future risk, this is a matter for property owners themselves.

5. Clearing up after a flood and getting homes back to normal is important for public morale, but this can sometimes appear to be delayed by insurance companies. What is the industry doing to ensure that people can get on with the clear-up and replacement of items as quickly as possible?

The insurance industry is very keen to reduce the time needed to handle claims so that they can get people back into their homes as soon as possible. However, this can be difficult when an event such as happened in 2007 occurs, with the pressure this brings on all involved – claims staff, loss adjusters, building contractors, alternative accommodation etc.. And of course it is important to ensure that surface 'finishings' are stripped out of properties to facilitate the drying process and that the property is properly dried-out before reinstatement work can commence. There is certainly no desire to delay things in any way and a lot was done in 2007 to bring in extra staff from other areas including overseas', to make emergency payments and to use contractors chosen by policyholders where this was requested by them etc.. Nevertheless, individual companies will be assessing their performance in this respect and doing what ever they can to learn from the experience of handling an event of this magnitude. One area of research being considered by Ciria is the time needed to ensure that homes are properly dried out and whether or not new 'super-driers' can be used to safely reduce this time.

6. In one area of North Yorkshire, flood defences have been put in place and homes behind these defences have a 'one in 50 year' risk of flooding. They are finding difficulty getting insurance. What advice can you give to people in this position?

Considering the cost of damage that can arise in a flood, a 'one in 50 year' risk level is considered very high by insurers. ABI would recommend that property owners consider what can be done to protect their individual property or to reduce the cost of damage that might be caused in a future flood. They should then discuss this with their existing insurer to see what cover can be provided,

even although insurers can't guarantee that they will always be able to provide cover at this risk level. Anybody who is not currently insured for flood is advised to discuss the situation with an insurance broker who can advise on insurers who specialise in insuring properties at a high risk of flooding.

7. In the experience of some members of the group, insurance companies put up the 'excess' amount to high levels for areas affected by flooding. What are your comments on this?

Insurers can only consider future insurance based on their perception of the future risk and the likely cost of damage should a flood occur. Where properties have previously flooded and nothing has been done to reduce the risk of future flooding, they may feel that they can only provide cover with a flood excess. This is more likely to be the case where the damage caused was extensive. Insurers don't apply excesses lightly, as they appreciate that property owners often prefer to pay a slightly higher premium. However in some cases they feel that they are essential. Property owners are also generally more motivated to take action to reduce the future risk when excesses apply than when premiums are raised.

8. Does the industry publish rules/guidelines to indicate at what point they would not insure a property that had been flooded or is at risk of flooding?

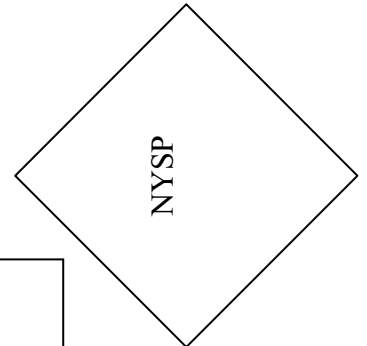
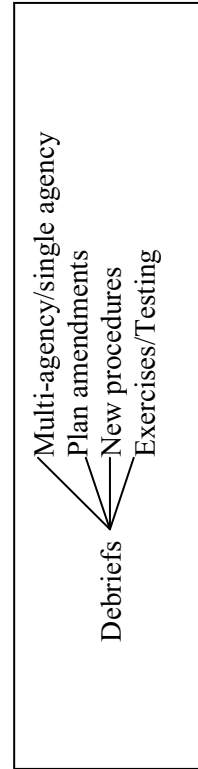
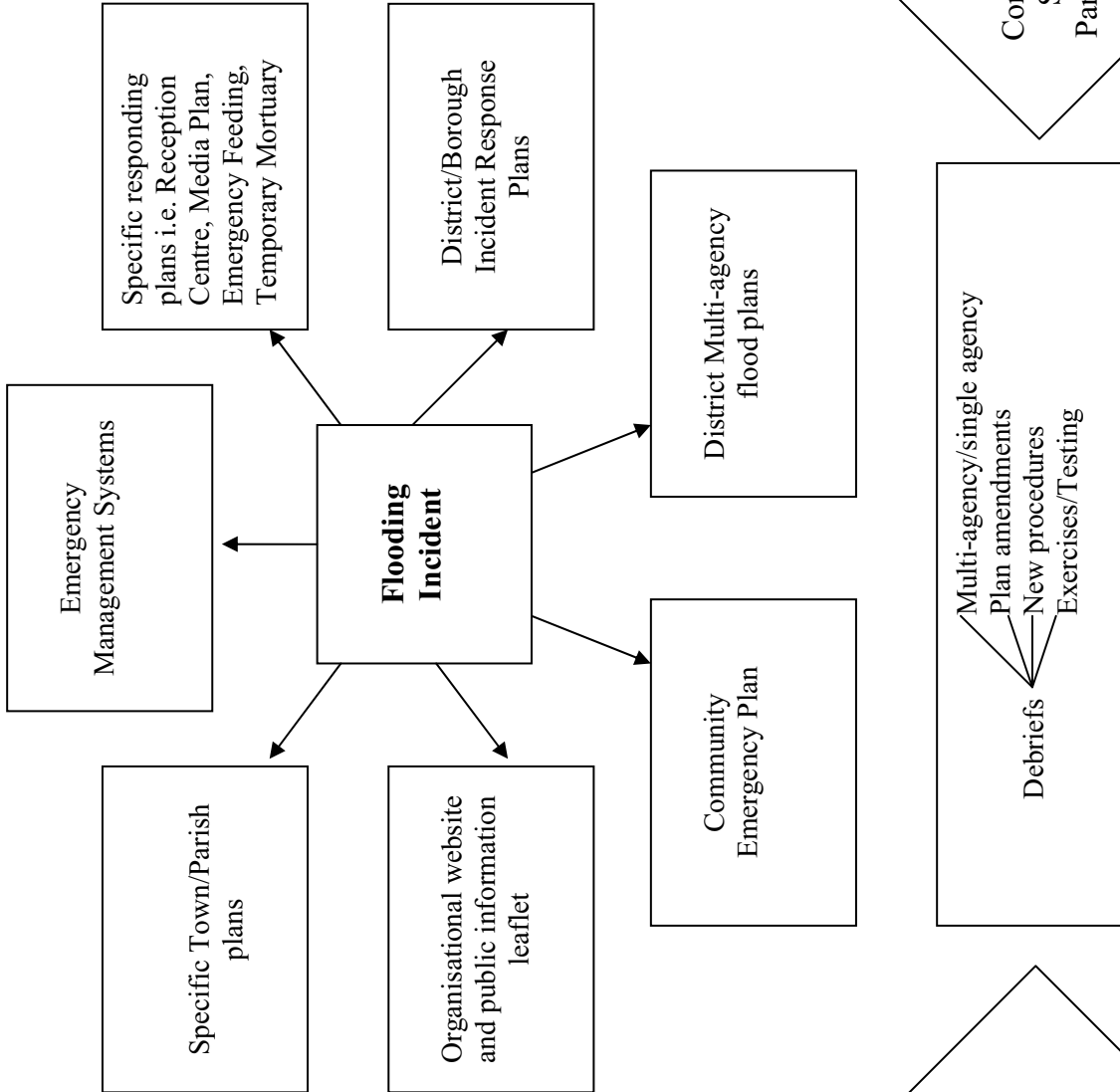
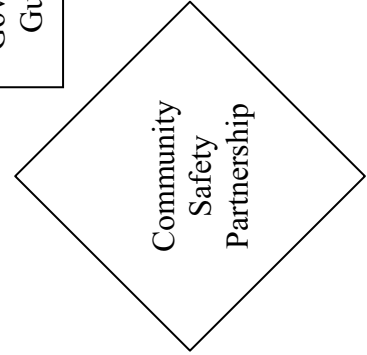
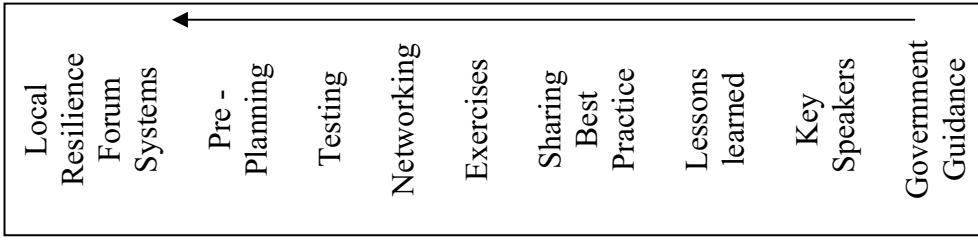
No, as it depends on individual circumstances and on both the risk of flood occurring as well as the likely cost of damage. Although the flood agreement provides no guarantees on cover in difficult situations, insurers will generally work with existing customers to consider what can be done to manage the risk and to provide as much cover as possible. In practice flood cover is only removed in very few, very difficult situations where future flooding is virtually inevitable.

9. In order to assist other agencies with planning for flood prevention, would insurance companies share their knowledge of areas where flood claims are concentrated?

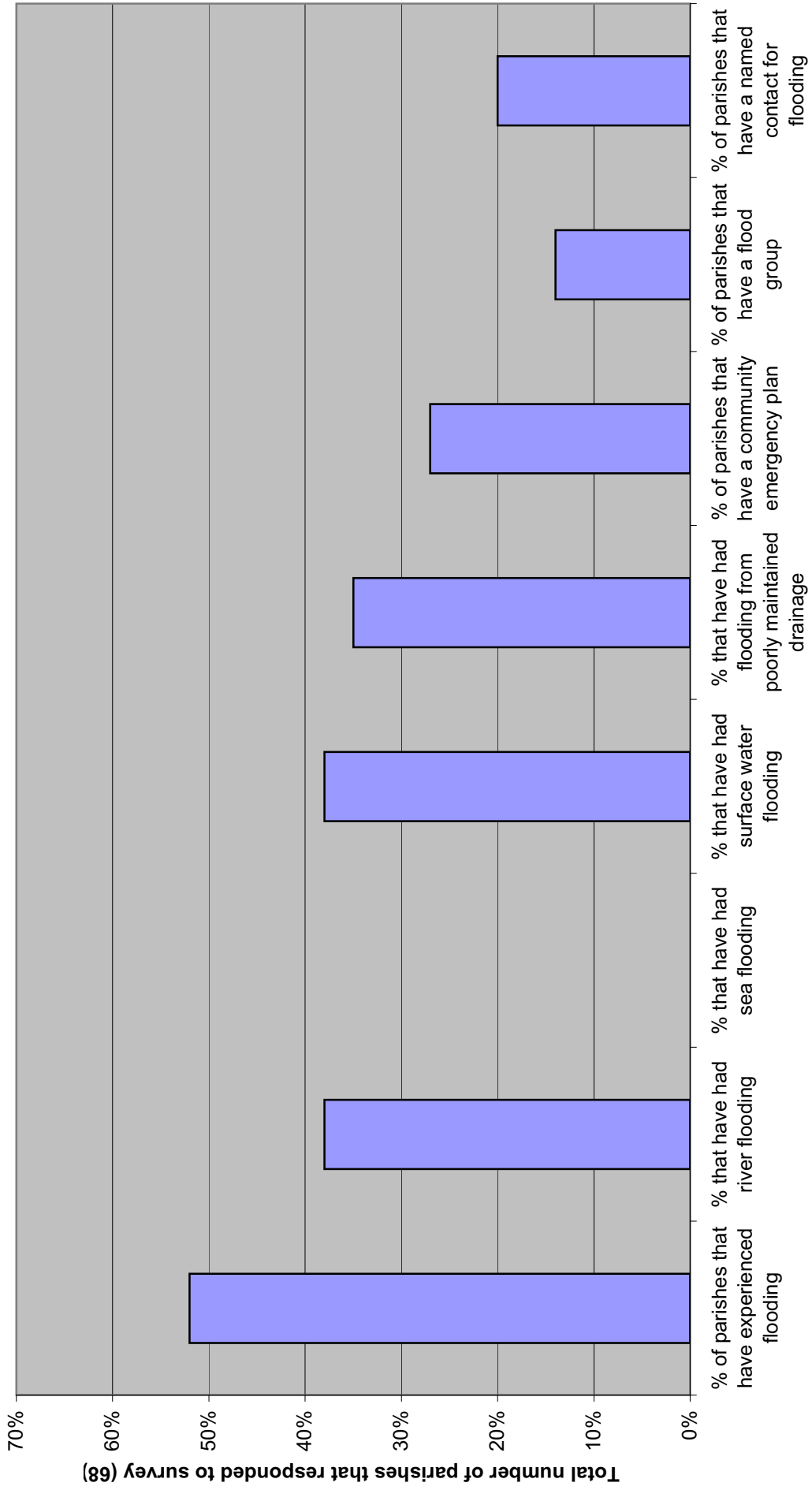
Insurers are discussing this possibility with the Environment Agency through the ABI.

10. Would insurance companies be prepared, in partnership with local authorities, to assist in advising residents on taking measures to protect their homes from flooding/minimising the damage?

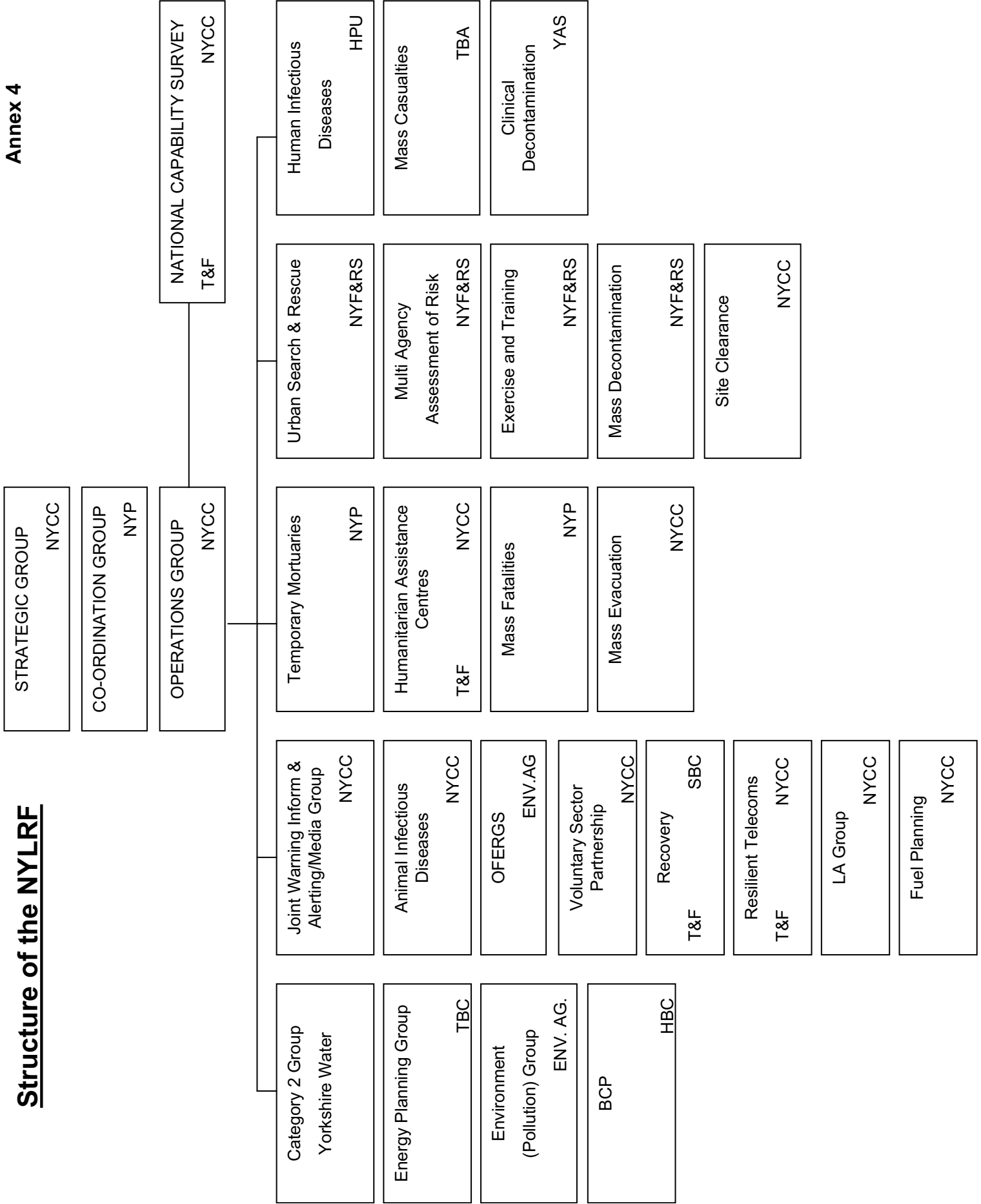
Yes. Following recent research on resilient reinstatement of properties, ABI has agreed to work with the National Flood Forum to prepare further guidance on this for customers and insurers will consider how they can make use of this to ensure customers are better informed. This research report is available at <http://www.defra.gov.uk/enviro/fcd/adaptationandresilience/floodgrantguidance.pdf>



Annex 3 - Survey on local flood planning in North Yorkshire



Structure of the NYLRF





REPORT TO: OVERVIEW & SCRUTINY COMMITTEE

DATE: 6 AUGUST 2009

REPORTING OFFICER: HEAD OF TRANSFORMATION
CLARE SLATER

SUBJECT: PARTNERSHIP GOVERNANCE TOOLKIT

WARDS AFFECTED: ALL

1.0 PURPOSE OF REPORT

- 1.1 To present members with the draft partnership governance toolkit for the Council

2.0 RECOMMENDATIONS

- 2.1 It is recommended that Members:
- (i) adopt the Toolkit as the basis for reviewing all existing partnerships in which the Council is engaged;
 - (ii) adopt the Toolkit as the protocol to be followed when considering entering into any new partnership arrangements.

3.0 BACKGROUND

- 3.1 Annual Governance Statement Action Plan – An internal audit undertaken into partnership working identified that the Council needed to establish sound governance arrangements for its significant partnerships. The action proposed in the AGS action plan is to identify significant partnerships and establish appropriate governance arrangements relevant to each.
- 3.2 Use of Resources – The use of resources assessment, which forms part of the CAA framework requires that the Council demonstrates the principles of good governance in relation to partnerships. Partnership governance has been identified as an area for improvement.
- 3.4 Partnership Improvement Programme – The Council has recently participated in the IdEA Partnership Improvement Programme, working with partners from the voluntary and community sectors, North Yorkshire County Council, Police and the Ryedale Strategic Partnership.

4.0 INTRODUCTION

- 4.1 The governance arrangements in place for any partnership working undertaken by the Council are vital to the effective corporate governance and internal control framework of the Council.

4.2 The Council needs to have a process through which to identify the significance of a particular partnership and the level of management required to maintain the effective governance of those partnerships judged to be significant.

4.3 An audit of all of the Councils involvement in partnerships is currently being undertaken.

5.0 POLICY CONTEXT

5.1 The Partnership Governance Toolkit is required to deliver the Annual Governance Action Plan and to evidence a systematic approach to the development and review of partnerships in which the Council is engaged.

5.2 The review of current partnerships and process for assessing potential partnership working will support the delivery of the Councils strategic objective – To develop the leadership, capacity and capability to deliver future improvements.

6.0 REPORT

6.1 The toolkit outlines the approach to be applied when the Council is considering joining or introducing new partnerships and also reviewing existing arrangements. It provides a basis for examining the key issues that require consideration, to ensure that any potential problems identified in relation to partnership working are confronted, assessed, overcome and avoided in the future. The draft Partnership Governance Toolkit is attached at Annex A.

6.2 The main objective of the toolkit is to ensure that the Council participates in successful partnerships that have robust governance arrangements.

The six principles of good governance in partnerships are:

- i) Focussing on the purpose of the partnership and on outcomes for the community including citizens and service users and creating and implementing a vision for the local area;
- ii) Working together to achieve a common purpose with clearly defined functions and roles;
- iii) Promoting the values of the partnership and demonstrating the values of good governance through behaviour;
- iv) Taking informed and transparent decisions which are subject to effective scrutiny and managing risk;
- v) Developing the capacity and capability of the partnership to be effective;
- vi) Engaging with local people and other stakeholders to ensure robust local public accountability.

Governance arrangements should be proportionate to the risks involved.

6.3 The eight partnership standards proposed for the Council are:

- i) Partnerships should have clear objectives that are realistic and measurable and link to the achievement of the Council's corporate objectives;
- ii) There should be clear organisational and staffing arrangements in place, with clear accountabilities for those involved in the partnership and clarity with regard to the resources committed to it;
- iii) Partnerships should have robust management and appropriate decision making mechanisms in place. They should have a constitution and/or terms of reference and defined standards as to the way individuals within partnerships should behave;
- iv) Partnerships should have robust performance management arrangements for

monitoring and reviewing how successfully targets are being met and sharing review findings amongst partners;

- v) Partnerships should have robust financial arrangements in place, with clear budget setting and monitoring procedures and clear financial regulations and schemes of delegation;
- vi) Partnerships should have a clear process for identifying, prioritising and managing risks. Business continuity arrangements should also be in place;
- vii) Partnerships should have a transparent process for information sharing within the partnership and public engagement arrangements where there is communication with service users and the wider public;
- viii) Partnerships should have clear exit arrangements that allow for minimal disruption and the reallocation of resources.

6.4 Both employees and elected members of the Council are expected to use the toolkit for both new and existing partnerships.

6.5 The partnership toolkit includes a checklist for assessing the health of a partnership and guidance on the application of the eight principles.

6.6 The partnerships currently included in the Councils list of significant partnerships will be reviewed first. The lead officer for each partnership will undertake the review and complete the significance matrix. This will then be endorsed by SMT. Lead officers for existing partnerships will then be expected to produce an improvement plan and timescale for delivery of the appropriate level of governance arrangements.

7.0 RISK ASSESSMENT

7.1 The risks inherent in partnership working need to be identified and managed in line with the Councils Risk Management Strategy. Those partnerships identified as significant to the organisation will be required to produce a Risk Register and Action Plan and present this annually to the overview and scrutiny committee. This should be managed through Covalent.

8.0 CONCLUSION

8.1 The Partnership Governance Toolkit should enable the Council to effectively manage the delivery of improved outcomes through partnership, management of the risks associated with a particular partnership and monitoring the value added through partnership working.

BACKGROUND PAPERS

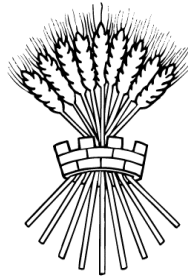
RDC Annual Governance Statement Action Plan – June 2009
Partnership Improvement Programme Action Plan – June 2009

OFFICER CONTACT:

Please contact Clare Slater, Head of Transformation, if you require any further information on the contents of this report, Tel: 01653 600666 ext. 347. clare.slater@ryedale.gov.uk

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RYEDALE
DISTRICT
COUNCIL



Partnership Governance Toolkit

Draft July 2009

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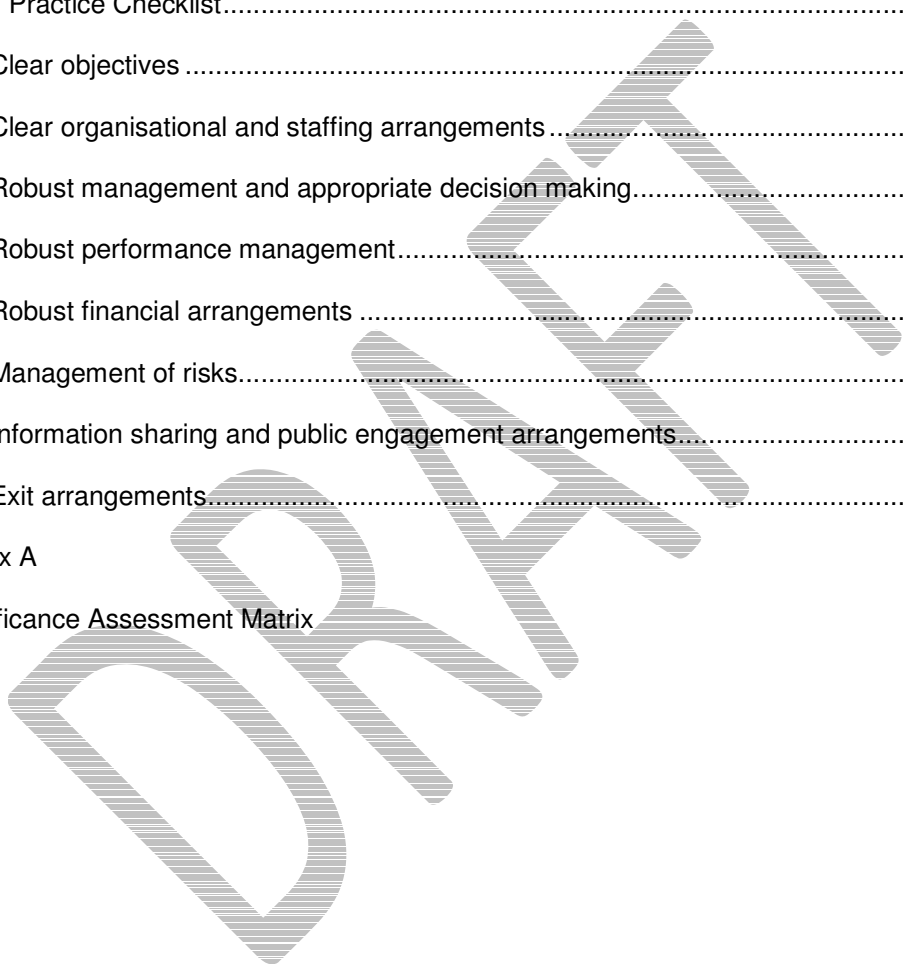
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Annex A

Significance Assessment Matrix



Purpose of the toolkit

The toolkit outlines the approach to be applied when considering joining or introducing new partnerships and also reviewing existing arrangements. It provides a basis for examining the key issues that require consideration, to ensure that any potential problems identified in relation to partnership working are confronted, assessed, overcome and avoided in the future.

The main objective is to ensure that the Council participates in successful partnerships that have robust governance arrangements. The Council's eight partnership standards are:

1. Partnerships should have **clear objectives** that are realistic and measurable and link to the achievement of the Council's corporate objectives.
2. There should be **clear organisational and staffing arrangements** in place, with clear accountabilities for those involved in the partnership and clarity with regard to the resources committed to it.
3. Partnerships should have **robust management and appropriate decision making** mechanisms in place. They should have a constitution and/or terms of reference and defined standards as to the way individuals within partnerships should behave.
4. Partnerships should have **robust performance management** arrangements for monitoring and reviewing how successfully targets are being met and sharing review findings amongst partners.
5. Partnerships should have **robust financial arrangements** in place, with clear budget setting and monitoring procedures and clear financial regulations and schemes of delegation.
6. Partnerships should have a clear process for identifying, prioritising and **managing risks**. Business continuity arrangements should also be in place.
7. Partnerships should have a transparent process for **information sharing** within the partnership **and public engagement arrangements** where there is communication with service users and the wider public.
8. Partnerships should have clear **exit arrangements** that allow for minimal disruption and the reallocation of resources.

Both employees and elected members of the Council are expected to use the toolkit for both new and existing partnerships.

Good Governance

“Good governance strengthens credibility and confidence in our public services. The function of governance is to ensure that authorities, other local government organisations or connected partnerships fulfil their purpose and achieve their intended outcomes for citizens and service users and operate in an effective, efficient, economic and ethical manner.”

Good Governance in Local Government, CIPFA

The six principles of good governance in partnerships are:

- (i) Focussing on the purpose of the partnership and on outcomes for the community including citizens and service users and creating and implementing a vision for the local area;
- (ii) Working together to achieve a common purpose with clearly defined functions and roles;
- (iii) Promoting the values of the partnership and demonstrating the values of good governance through behaviour;
- (iv) Taking informed and transparent decisions which are subject to effective scrutiny and managing risk;
- (v) Developing the capacity and capability of the partnership to be effective;
- (vi) Engaging with local people and other stakeholders to ensure robust local public accountability.

Governance arrangements should be proportionate to the risks involved.

Equality and Diversity in Partnerships

One of the Councils corporate equality objectives is to strengthen arrangements for partnership working and procurement.

Working with partners and contractors is a key way for the council to exercise its influence and promote equality in the district. Statutory partners share responsibilities under the public duties relating to equality.

As bodies carrying out public functions on behalf of the council partnerships are, by extension, required to work in accordance with the public duty placed on the council.

When considering the possibility of entering into a new partnership, or reviewing an existing partnership, equality impact assessment must be used to develop the performance management arrangements for the partnership. The impact assessment should also be used to ensure that an option for future service delivery will not adversely affect particular communities.

For further information please contact your Head of Service.

The North Yorkshire Compact

Elected members and officers involved with partnerships should be aware of the North Yorkshire Compact and its content. The Compact is a partnership agreement between statutory bodies, including Ryedale District Council, and the voluntary and community sector, which has been designed to improve relationships and provide a framework within which to understand what to expect from each other.

The Compact states that the statutory organisations will:

- Work towards a situation in which statutory contracts and service agreements are a minimum of three years duration and where a minimum of 12 weeks notice is given in respect of decisions to change or terminate grant or contract conditions (or less by mutual agreement).
- Undertake appropriate consultation with the voluntary sector to ensure that as commissioners we are working towards consistency in commissioning, funding and monitoring practice.
- Provide for quality in consulting the voluntary and community sector and others, including providing for a 12 weeks minimum consultation period wherever possible.
- Recognise that VCS organisations have the right and duty to determine and manage their own affairs in the best interests of the constituencies and beneficiaries.
- Recognise the entitlement of voluntary and community groups to campaign within the law in order to advance their aims and objectives, and to comment on and challenge public sector policy, irrespective of any funding relationship that might exist.
- Recognise the breadth of knowledge and ideas within the Voluntary and Community Sector and agree to value and utilise these resources when developing policy, strategy and service delivery.

Of particular relevance to partnerships between the Council and the VCS is the Commission for the Compact's guidance on commissioning with third sector organisations. The guidance is designed to ensure that the commissioning process and the management of contracts complies, wherever possible, with the Compact principles. The document can be found at: http://www.thecompact.org.uk/information/100016/103956/compact_commissioning_guidance_published/

PLEASE NOTE: The Compact itself is a voluntary agreement between the various sectors BUT non-compliance could be challenged through the Commission and non-compliant organisations (both statutory and VCS) required to implement recommendations from the Commissioner. The Commission for the Compact has also asked Government for it to be given the statutory powers of investigation and enforcement.

The full version of the North Yorkshire Compact can be found at http://www.nysp.org.uk/downloads/FINALVERSION_Compact_and_codes_FULL.pdf?PHPSESSID=11289fdc29112e413418b98229e09429

For further information on the North Yorkshire Compact please contact [Jos Holmes](#), Economic and Community Services Manager, Ryedale District Council.

Good Practice Checklist

This good practice checklist will help you to assess the health of your partnership. All of the answers should be 'yes' and action should be taken where this is not the case.

Please only use N/A in exceptional cases where there is a special reason for doing so.

1. Clear Objectives	Y	N	N/A
Does the partnership have a clear mission and purpose?	✓		
Are there agreed aims and objectives?			
Do the aims and objectives relate to those of the council?			
Is there a clear published strategy for the partnership?			
Is there a shared action plan to deliver the strategy?			
If N/A selected please state why:			

2. Clear organisational and staffing arrangements	Y	N	N/A
Was the correct approval sought to initiate the partnership?	✓		
Is your role and responsibilities clearly defined?			
Is there clarity about the functions and decisions that can be delegated and to whom?			
Are there arrangements in place for the external scrutiny of partnership decisions?			
Do staff employed by the partnership have agreed aims and objectives?			
Is there a policy on recruitment to the partnership? Is it clear whose recruitment procedures should be used?			
Are staff supervision arrangements clear and appropriate for partnership staff?			
Have staff development procedures (appraisal, training) been clarified for partnership staff?			
Is it clear how staff conduct issues will be addressed between partners?			
If N/A selected please state why:			

3. Robust management and appropriate decision making	Y	N	N/A
Does the partnership have terms or reference or a constitution?	✓		
Is there a code of conduct?			
Are clear and accurate minutes recorded?			
Is there a declaration of interest procedure?			
If N/A selected please state why:			

4. Robust performance management	Y	N	N/A
Is there an agreed performance management framework?	✓		

Are challenging and SMART targets set year on year?			
Is performance against targets tracked and reported to the partnership?			
Are performance measures in place for the council to monitor its involvement in the partnership?			
Are there arrangements in place for the partnership's progress and performance to be reported back to the council on a regular basis?			
If N/A selected please state why:			

5. Robust financial arrangements	Y	N	N/A
Is it clear where accountability lies for financial matters?	✓		
Is the council's financial commitment clearly identified in service budgets?			
Is it clear whose standing orders/financial regulations/constitution are to be used?			
Is the process for approving spending clear, documented and agreed by the partnership?			
Are financial monitoring and reporting arrangements in place within the partnership and who manages them?			
Where necessary, are financial monitoring arrangements in place within the council in relation to the partnership?			
Is there a means to evidence that objectives are being met in a cost effective manner?			
Is the procedure for applying for grants and external funding clear?			
Where resources are jointly purchased or commissioned, is there clarity over ownership, responsibilities etc?			
Have the implications of VAT and other taxation requirements of, and differences between, different organisations been considered?			
If N/A selected please state why:			

6. Management of risks	Y	N	N/A
Does the partnership maintain a risk register and actively manage its risks?	✓		
Are there arrangements in place for the partnership's significant risks to be reported back to the council on a regular basis?			
Has the council undertaken a risk assessment of being in the partnership?			
Business Continuity arrangements are in place			
If N/A selected please state why:			

7. Information sharing and public engagement arrangements	Y	N	N/A
Is an information sharing protocol in place between partners?	✓		
Have data protection issues been addressed?			

Is there clarity on confidentiality within meetings and on handling confidential information between partners?			
Does the partnership publicly report its progress?			
Are the partnerships papers available to the public?			
Can the public ask questions at meetings or raise agenda items?			
Is there a complaints and feedback process in place?			
If N/A selected please state why:			

8. Exit arrangements	Y	N	N/A
Does the partnership have an exit strategy in place?	✓		
Where appropriate, have staffing issues been considered in the partnerships exit planning?			
Does the exit strategy include a policy on dealing with ongoing income and expenditure?			
Is it clear who will own assets once the partnership comes to an end?			
If N/A selected please state why:			

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1. Clear objectives

One of the main reasons that partnerships fail is the lack of clear objectives and plans.

The Council believes that all partnerships it is involved with should have:

- A clear mission and purpose.
- A business plan or strategy in place.
- Realistic and measurable objectives.
- Targeted outputs and outcomes.
- A clear link to the achievement of the Council's corporate objectives.

There should be clear aims and realistic and measurable objectives before a partnership is set up and these should be agreed by the partnership at the first meeting. The aims and objectives should answer the question '*what is it intended to achieve?*' and should have a clear link to the achievement of the Council's strategic themes and corporate priorities.

The aims and objectives should be set out in the partnership's terms of reference or constitution and the short/medium/long-term outcomes and performance measures in a business plan or strategy.

Objectives

Objectives are specific statements that can be measured. For this to take place they should be SMART, which means they are:

- | | | |
|-------------------|---|---|
| Specific | - | all objectives should have specific outcomes |
| Measurable | - | the outcome of an objective should be able to be measured |
| Achievable | - | the objective should describe something that can be achieved within the timescale and resources set for the project |
| Realistic | - | objectives should describe something that can actually be done |
| Timebound | - | a timescale should be set for when the objective is to be achieved |

Outputs, inputs and outcomes

Once the aims and objectives have been set, partners should turn the objectives into specific outcomes. The outcomes should answer the question '*how will I know when these objectives have been achieved, in terms of benefits experienced by the community?*'

Each of the partnership's outcomes should be able to be measured or monitored. This can be achieved by setting specific performance measures or milestones. Performance measures can be quantitative or qualitative. Quantitative measures use statistical information whereas qualitative measures provide an understanding of people's experiences, perspectives and histories in the context of their personal circumstances or settings and answer 'what is', 'how' and 'why' questions.

Outputs should relate to the outcome and are the activities that will need to take place for the objectives to be met. They are usually things that need to be done in order to produce the desired result e.g. carry out an awareness campaign or increase the number of neighbourhood watch schemes in an area.

Inputs are the resources that are available to carry out the work needed in order to achieve the objectives. The inputs or resources used to produce the outputs can be financial, material or human.

For further information on this section please contact your Head of Service.

2. Clear organisational and staffing arrangements

The Council believes that all partnerships it is involved with should have:

- Clear accountabilities e.g. role of lead officer, Corporate Management Team, Senior Management Team, Elected Members, Overview and Scrutiny Committee.
- Clarity around resources committed to the partnership.

Your Role

Firstly, it is very important that you are clear about your role on the partnership that you are involved with.

Where you are the Council's lead officer for a partnership, you are expected to:

- Be a point of contact between the Council and the partnership.
- Assist the partnership work with the Council.
- Facilitate the Council's input into the partnership.
- Review performance against agreed outcome targets and highlight any issues with your Head of Service.
- Alert relevant Council officers to any issues.
- Facilitate a regular self-assessment of the partnership's activity and make recommendations about any action required.
- Be clear as to the level of decision-making authority that the partnership has and whether or not you have such authority from the Council.

You also need to be clear about the amount of time you are expected to commit to the partnership and ensure that your manager is agreeable to this level of commitment. Staffing commitments should not exceed the amount of added value that the partnership can deliver.

Senior Management Team

The Council's Senior Management Team is responsible for:

- Scoring the Council's partnerships against the significance assessment scorecard.
- Risk assessing the Council's significant partnerships on a quarterly basis.
- Referring partnerships to the Policy and Resources Committee and Overview and Scrutiny Committee, where appropriate.
- Keeping a register of the Council's significant partnerships.
- Monitoring the overall impact of partnerships and advising Policy and Resources Committee on any action required.
- Commenting on the viability and strategic fit of any new partnership, and relevance of existing partnerships.
- Championing the use of this toolkit.

For further information on this section please contact your Head of Service.

3. Robust management and appropriate decision making

All partnerships should have a governing document such as a constitution or terms of reference and operating conventions. The process of agreeing a document is in itself an important element of partnership governance; it will help clarify roles and relationships and build goodwill and trust.

The Council believes that all partnerships it is involved with should have:

- A constitutional or legal framework, which can include terms of reference
- Clear codes of conduct
- A clear decision making process

Whilst there is no single form of document that will suit the size and scope of all partnerships, the main elements that should be considered are:

- Name of the partnership
- Aims and objectives
- Timescales (date of establishment, review and end - see exit arrangements)
- Membership, including status of different members and termination of membership, schemes of delegation
- Powers (statutory responsibilities and decision-making authority)
- Accountability (reporting structures, dealing with complaints and public transparency)
- Roles and responsibilities of the Chair and other members, including codes of conduct and equalities
- Income and other resource contributions, including ownership of assets
- Meetings (frequency, quorum rules, chairing and voting)
- Decision-making processes (scope and timescales)
- Performance management arrangements
- Amendments to the partnership's rules
- Minutes and
- Exit strategy

Governing documents should be reviewed at least every two years and amended where necessary.

For further information on this section please contact your Head of Service

4. Robust performance management

The Council believes that all partnerships it is involved with should have:

- Clear milestones, outcomes, performance indicators and delivery dates.
- Arrangements for monitoring and reviewing how successfully targets are being met.
- Arrangements for ensuring that monitoring and review findings are shared and disseminated amongst the partners.
- A clear process for addressing poor performance within the partnership.

For information on milestones and outcomes please look at section one 'clear objectives'. The aims and objectives should be set out in the partnership's terms of reference or constitution and the short/medium/long-term outcomes and performance measures in a business plan or strategy.

All partnerships should have robust performance management arrangements in place. Partnerships with a more formal workload, more onerous responsibilities and larger resources should have more sophisticated arrangements in place. Where possible, management arrangements should be aligned with the Council's own performance management arrangements. Performance management should be undertaken through the Council's performance management system – Covalent for significant partnerships where this is considered appropriate.

Partnerships should regularly monitor and evaluate their performance and provide updates at partnership meetings. If a partnership is not meeting its targets, or is likely to fail in the future, this will need to be flagged via the partnership's agreed reporting structures and should also be discussed with your Head of Service.

Performance and progress against milestones should be reported to the council on a regular basis. The frequency of reporting will be determined by the scale of the partnership, e.g. where significant funding has been contributed, quarterly reporting would be expected.

Partnerships should also consider carrying out regular self-assessments to maximise their potential and deliver better outcomes. Self assessment frameworks can be uploaded to Covalent.

For further information on this section please contact the Transformation Team.

5. Robust financial arrangements

There is a range of financial issues to consider when setting up a partnership and a number of them are covered below. This section sets out a number of important points, but if in doubt please seek advice.

The Council believes that all partnerships it is involved with should have:

- Clarity on resource committed to the partnership.
- Clear budget setting and monitoring procedures in place.
- A budget and performance reporting framework in place.
- Clear financial administration procedures in the form of financial regulations and scheme of delegation.

Resources

Every partnership needs to be clear about the resources it has available. Resources can be in the form of people, other in kind contributions and/or money. If partners are committing funds to the partnership, clear agreements need to be in place setting out how much funding will be provided and how under and over spends will be dealt with.

Budgeting

Budgeting is a fundamental part of the planning process for any organisation or partnership. It links what resources are at your disposal with how you are going to use them to achieve your objectives and each year a budget plan should be approved. Where a partnership has monetary resources at its disposal it should agree monitoring procedures that are appropriate to the level of funding it receives.

Reporting framework

Where a partnership is in receipt of monetary resources, the accountable body for the funding should provide the partners with regular budget control reports, to enable the partners to understand what the financial position is. A named person should be given this responsibility. The reporting framework needs to link to the agreement on how under and over spends within the partnership would be dealt with if they happened.

The accountable body may change depending on where the funding originates. The partnership must abide by the accountable body's financial regulations and must ensure that it has obtained the appropriate level of authorisation before payments are made.

The budget reporting framework should be linked to the partnership's performance management framework to ensure that spend is linked to outcomes.

Audit requirements

From the outset, the partnership agreement must provide both internal and external auditors with rights of access to documentation. All partners must ensure there is a clear audit trail for any payments made, contracts tendered and funding received, which follows the appropriate financial / contract regulations and schemes of delegation.

Document retention

It will need to be established who is going to be responsible for holding documents and for that party to be aware of the legal requirements of retaining documents for various statutory and grant body requirement periods.

Grants

Grants may form the main funding for partnership arrangements and the terms and conditions of those grants must be clear, including who the accountable body is and document retention. Grant funded services or projects should have clear exit strategies for when the funding ends.

For further information on this section please contact Finance and Revenues Service Unit.

6. Management of risks

Risk management is a key element of corporate governance. It allows you to identify things that may go wrong and plan ways to either prevent them happening or minimise their impact. Each partnership needs to consider the risks that, if they occurred, would prevent it from achieving its objectives.

As partnerships carry out work to meet the Council's objectives, the Council itself faces a risk of partnership failure. The Council's lead officer for a partnership should therefore assess the risk of their partnership failing and - where this is a possibility - take action to put mitigating controls in place.

The Council believes that all partnerships with which it is involved should have:

- A clear process for identifying and recording risks, assessing the potential impact and likelihood of risks occurring, prioritising and managing risks.
- A common understanding of the identified risks among all partners in the partnership.
- A clear allocation of risks to nominated members of the partnership, including responsibility for overseeing the implementation of action plans to mitigate risks.
- Regular review of risks and action plans.
- Appropriate business continuity arrangements in place.

The Council's scoring mechanism for assessing the likelihood of a partnership failing, considers whether the following elements of risk management are in place: risk register, process for managing risk, mitigation plans, clear risk allocation and exit strategy.

Risks are categorised as high, medium and low whereby risks falling within the medium and high categories require mitigating action.

The Council's own risk management processes are set out in its Risk Management Strategy, and all risk registers and action plans must be managed through Covalent and include:

- areas to consider regarding the scope of risk;
- guidelines for assessing the impact and likelihood of risk; and
- templates for risk registers and action plans.

Lead officers can use the Council's processes as a guide to ensuring that appropriate risk management arrangements are established in a partnership, proportionate to its significance and scope. All partnerships judged to be significant to the Council will be required to report their Risk Register and action plans to Overview and Scrutiny Committee at least annually.

The frequency of reporting will be determined by the scale of the partnership, e.g. where significant funding has been contributed, quarterly reporting would be expected.

For further information on this section please contact [John Barnett](#), Audit Manager.

7. Information sharing and public engagement arrangements

The Council believes that all partnerships it is involved with should have:

- A clear and transparent process for sharing information within the partnership.
- A clear data quality trail.
- Communication with service users and the wider public to explain how the partnership works and where responsibility and accountability lie.
- A joint complaints procedure or process for ensuring redress can be obtained.

Information sharing

There are enormous benefits to sharing information; however, it should always be done within the law. The provisions in the Data Protection Act 1998 should be used as a safeguard to protect privacy and confidentiality and not be used to justify unnecessary barriers to sharing information. Various information sharing protocols exist across partner organisations in North Yorkshire and it is important to abide by these where applicable.

Protocols seek to facilitate the professional and responsible exchange of information. They provide guidance on how officers can lawfully and fairly exchange personal, depersonalised and non-personal information and set out the principles that must be followed when exchanging information. If your partnership exchanges personal information to meet its aims you must ensure that a protocol is in place and that the guidance is followed.

The Information Commissioner's Office has developed a Framework Code of Practice for Sharing Personal Information, which can be found at www.ico.gov.uk/upload/documents/library/data_protection/detailed_specialist_guides/pinfo-framework.pdf

If you are unsure as to whether or not a protocol is necessary or would like advice regarding the development of a protocol please contact the Legal Team.

For further information on information sharing please contact Anthony Winship, the Councils Monitoring Officer and Legal Services Manager.

Public engagement

The Local Government and Public Involvement in Health Act 2007 introduced a new duty to involve. The duty came into force on 1 April 2009 and requires local authorities to take those steps they consider appropriate to involve *representatives of local persons* in the exercise of any of their functions, where they consider that it is appropriate to do so.

The phrase "representatives of local persons" refers to a mix of "local persons", i.e. a selection of the individuals, groups or organisations the authority considers likely to be affected by, or have an interest in the authority function. In the context of the duty the "representative" does not refer to formally elected or nominated members of the community, such as councillors.

In considering how to fulfil the statutory duty, you should aim to involve representatives of local people as much as possible. This should be in relation to routine functions, as well as significant one-off decisions.

The following three ways of involving should be considered. You will need to consider whether one, two, all three or none of the approaches should be used.

- a) **providing information** about the exercise of the particular function;
- b) **consulting** about the exercise of the particular function; and/or
- c) **involving in another way.**

In addition to complying with the duty to involve, all partnerships should have a **joint complaints procedure** or process for ensuring redress can be obtained. The procedure should be clear and accessible to both partners and the public. Partnerships need to recognise the feedback value of complaints; it should influence decisions about service delivery. Complaints also present an opportunity to engage with the wider public.

Partnerships need to take a collective approach to developing an effective complaints procedure; this means that they can deal with complaints collaboratively, or quickly and efficiently channel the complainant to the appropriate partner's corporate system.

The Councils Complaints Compliments and Comments procedure can be found at http://www.ryedale.gov.uk/council_and_democracy/corporate_complaints/complaints_procedure.aspx

And the Community Engagement Strategy and guidance at <http://intranet.ryedale.gov.uk/default.aspx?page=7396>

For further information on public engagement please contact [Clare Slater](#), Head of Transformation

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8. Exit arrangements

The Council believes that all partnerships it is involved with should have:

- An exit strategy that allows for minimal disruption, smooth transition and no nasty surprises.
- Arrangements for the reallocation of resources.
- A process for managing residual liabilities.
- Assessed the impact of ending the partnership.

Recognising when a partnership is no longer necessary can be difficult, but is important. It is best to plan for the end of the partnership when the partnership is initially set up. Exit arrangements should be detailed within the partnership's governing document.

The partnership should set out in its governing document the conditions under which a partner may leave the partnership and the conditions under which the partnership can be brought to a close. When preparing the exit or end conditions you should consider the following:

- What should happen to any employees working on behalf of the partnership?
- What will happen to any assets (including monetary contribution) owned by the partnership?
- What will happen to any documentation, or information held by the partnership?
- How will a final report (including accounts) of the partnership be presented and to whom?
- Is there a need to consult with stakeholders before withdrawing from or ending the partnership?

Partnerships should carry out a regular review (preferably annually) of whether it should carry on or cease to function. Possible reasons for ceasing include:

- Inability to meet objectives
- Lack of funding
- Lack of commitment from a key partner
- Objectives are met
- The partnership activity no longer supports the Council's objectives
- One or more partners wish to exit for any of the above reasons.

Winding up a partnership that is a company is a specialist task and you will need to take advice from the Legal Team if this applies.

Exiting a partnership can be done at any time, barring any contractual commitments. If you are proposing to exit a partnership this should be discussed with partners and should follow any agreed exit arrangements that are in place. Withdrawal may have serious negative effects on partners and could undermine future relationships if not handled correctly.

The optimal time for a partnership to cease would be at the end of the financial year, as the partnership's plans and budgets likely will be synchronised to this. A withdrawal will need to be planned and it should be borne in mind that a period of notice is considered usual.

For further information on this section please contact [Anthony Winship](#), the Councils Monitoring Officer and Legal Services Manager.

Partnership Significance Assessment Matrix

This table should be used to assess the significance of your existing or proposed partnership.

Please enter the score in the last column which most closely represents your partnership. Answer all applicable questions, using scores of 1, 2, 3, 4, or 5.

Name of Partnership:							
Impact No.	Description	Insignificant (Score 1)	Minor Significance (Score 2)	Moderate Significance (Score 3)	Major Significance (Score 4)	Highly Significant (Score 5)	Score
1	PARTNERSHIP COSTS: The Council directly contributes <ul style="list-style-type: none"> • money to the partnership • contributes resources such as officer time or work done or • money is directed through the Council's accounts 	< £50K	£50K to 75K	£75K to £100K	£100K to £500K	> £500K	
2	LINK TO COUNCIL PRIORITIES: To what extent is the partnership's success critical to the achievement of a Council priority?	Not linked to any Service or Council priority	Indirect links to successful achievement of a Council priority	Moderate contribution to successful achievement of a Council priority	Significant contribution to the successful achievement of a Council priority	Essential to successful achievement of 1+ Council priority	
3	CONSEQUENCES: What are the consequences (financial / reputational / liability / political) for the Council of failures within the Partnership?	Insignificant consequences	Minor consequences	Moderate consequences	Major Significance	Highly Significant	
4	DECISION MAKING: The partnership takes decisions on behalf of or which are binding on the Council	No decisions taken on behalf of the Council	No decisions taken on behalf of the Council but Council representatives feedback to the Council.	No decisions taken on behalf of the Council, but representatives with delegated authority attend the partnership and consider and influence its	No decisions taken on behalf of the Council but representatives with delegated authority attend the partnership and agree to be bound by its decisions.	The partnership has decision making responsibilities directly delegated to it from the Council	

Name of Partnership:							Score	
Impact No.	Description	Insignificant (Score 1)	Minor Significance (Score 2)	Moderate Significance (Score 3)	Major Significance (Score 4)	Highly Significant (Score 5)		
			recommendations.					
5	STATUTORY OR REGULATORY CONTEXT: Is the Council required to set up the partnership <ul style="list-style-type: none"> • by law? • in order to receive additional funding? • to meet a requirement of statutory guidance? 	Not required by law or for funding	Indirect links to successful achievement of funding or excellence	Limited links to successful achievement of funding or excellence	Direct links to successful achievement of funding or excellence	The Council is required to participate in this partnership by law or to receive specific funding		
6	RISK: The partnership contributes to the management of risks identified on corporate or service risk registers.	The partnership does not contribute to the management of high priority risks identified on corporate or service risk registers	The partnership indirectly contributes to the management of high priority risks identified on a service risk register	The partnership directly contributes to the management of high priority risks identified on a service risk register.	The partnership indirectly contributes to the management of a high priority corporate risk	The partnership directly contributes to the management of a high priority corporate risk		
TOTAL:							A	A
HIGHEST POSSIBLE SCORE (No. of questions answered x 6)							B	B
IMPACT SCORE ("Total" divided by "Highest Possible Score" x 100)							A/B x 100	C %
Please submit your initial assessment to your Head of Service.								
A list of significant partnerships and all assessment forms will be held in the Transformation Team								

The matrix below uses the Significance Score to categorise your partnership

Suggested Rigour Required	Assessed Impact	LEVEL 1 Limited Significance (0-50%)	LEVEL 2 Major Significance (51%+)
The project needs to be signed off by the relevant Head of Service		Mandatory	Mandatory
Senior Management Team needs to be informed of the partnership		Non essential	Mandatory
Ensure application of all aspects of the Partnership Governance Toolkit		Advisable	Mandatory



REPORT TO: OVERVIEW AND SCRUTINY COMMITTEE

DATE: 6 AUGUST 2009

REPORTING OFFICER: HEAD OF ORGANISATIONAL DEVELOPMENT
LOUISE SANDALL

SUBJECT: SERVICE RISK REGISTER – ORGANISATIONAL
DEVELOPMENT

WARDS AFFECTED: ALL

1.0 PURPOSE OF REPORT

- 1.1 This report presents the Service Risk Register (SRR) for those services under the Head of Organisational Development.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that Members receive the report and review the risk register.

3.0 REASONS SUPPORTING DECISION

- 3.1 Risk identification and management is an integral element of organisational management to secure the achievement of the Council's corporate objectives. Risk Management should also form a key part of any budget making decisions.

4.0 REPORT

- 4.1 Service Risk Registers were originally established from work undertaken by the Audit Partnership in conjunction with Service Unit Managers, however, since the management restructure the number of registers have been reduced and are now the responsibility of the Heads of Service and their managers. These registers have not yet been subject to Member review.
- 4.2 Annex A outlines the SRR for the Head of Organisational Development. It is envisaged that each register will be presented to this committee on a rotational basis highlighting changes to risks and work undertaken to mitigate those risks.

5.0 CONCLUSION

- 5.1 Further reports will be brought to the Overview and Scrutiny Committee as the responsible committee for monitoring and evaluating risks within the Council.

Background Papers: **None**

OFFICER CONTACT: Please contact Louise Sandall if you require any further information on the contents of this report. The officer can be contacted at Ryedale House on 01653 600666 or e-mail louise.sandall@ryedale.gov.uk.

Service Risk Register - Organisational Development



Generated on: 15 July 2009

Organisational Development Risk Plan

Risk Code	Risk Title	Description	Status
OD	Organisational Development Risk Plan		
Consequences		Desktops not working. Staff unable to perform duties. Increased cost. Increased system downtime.	
Current Risk Matrix		Previous Rating	Previous Rating Description
		Current Rating	Current Rating Description
		SMT Lead	
		Louise Sandall	
		Target Rating	Target Rating Description
		Last Review Date	
		23/03/2009	


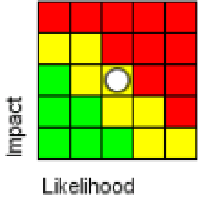




OD 01 Regular vacancies in the section

Risk Code	Risk Title	Description	Status
OD 01	Regular vacancies in the section		
Consequences		Failure to meet targets Quality of service declines Increased complaints by public Loss of image /bad PR Loss of expertise Less capacity to deal with increased complaints Low staff morale Increased workloads, absence & training costs & cost of agency staff	
Current Risk Matrix		Previous Rating	Previous Rating Description
		6	C2 Significant
		SMT Lead	
		Louise Sandall	
		Target Rating	Target Rating Description
		Last Review Date	
		23/03/2009	


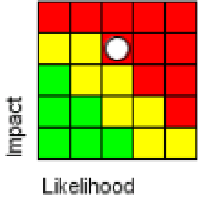

Risk Actions

Status	Code	Title	Progress Bar	Lead	Latest Note
	Risk OD 01	Multi skilled workforce	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4a5568; position: relative;"> 25% </div>	Louise Sandall	Skills and Qualification assessment to be analysed. Corporate Training Plan to be completed and issued.


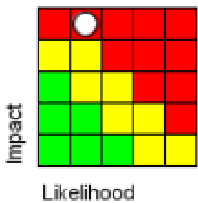

OD 02 Ageing workforce


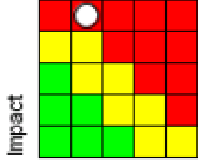

Risk Code	Risk Title	Description	Status		
OD 02	Ageing workforce				
Consequences		Staff can retire at any time (workforce plan). Increased vacancies			
	Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead	
		9	C3 Significant	Louise Sandall	
		Current Rating	Current Rating Description	Last Review Date	
		9	C3 Significant	24/03/2009	
		Target Rating	Target Rating Description		
Risk Actions					
Status	Code	Title	Progress Bar	Lead	Latest Note
	Risk OD 02	Develop a workforce plan	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; text-align: center; color: white;">20%</div>	Louise Sandall	A Skills and Qualification assessment has been completed, analysis of the data is underway. A draft Workforce plan has been completed.
	Risk OD 03	Increased demonstration of Managers Planning	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; text-align: center; color: white;">25%</div>	Louise Sandall	Managers will be provided with management information on their staff. HR email managers to prompt them to hold a discussion with a member of staff 7 months before they approach 65.
	Risk OD 04	Explore Apprenticeship Scheme	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; text-align: center; color: white;">0%</div>	Louise Sandall	Meeting with NYCC set up to discuss possible joint working.
	Risk OD 05	Knowledge Banks and protocols and processes written down	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; text-align: center; color: white;">0%</div>	Louise Sandall	Units need to be proactive about capturing information/Knowledge from staff. HR has conducted end to end process mapping for all process, democratic services is 50% completed.


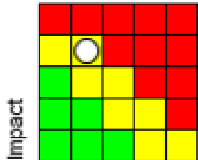
OD 03 Failure to manage servers


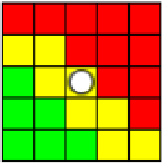


Risk Code	Risk Title	Description	Status		
OD 03	Failure to manage servers				
Consequences		Server failure. Lack of space. Documents not being backed up			
Current Risk Matrix 	Previous Rating	Previous Rating Description	SMT Lead		
	12	D3 Critical		Louise Sandall	
	Current Rating	Current Rating Description	Last Review Date		
	12	D3 Critical		24/03/2010	
	Target Rating	Target Rating Description			
Likelihood	2	B1 Noticeable			
Risk Actions					
Status	Code	Title	Progress Bar	Lead	Latest Note
	Risk OD 06	Monitoring servers and network for available resources	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #ccc; position: relative;"><div style="background-color: #0070c0; width: 5%; position: absolute; left: 0;"></div>5%</div>	Louise Sandall	Investigating virtualisation of servers as part of corporate ICT Programme Plan


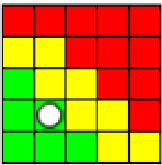

OD 04 Lack of web/internet resilience and consequent failure of the infrastructure


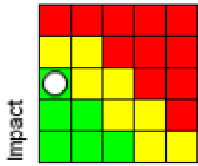
Risk Code	Risk Title	Description	Status		
OD 04	Lack of web/internet resilience and consequent failure of the infrastructure				
Consequences		Loss of email. Limited ICT services being available. Loss of systems. Disruptions to public facing services.			
Current Risk Matrix 	Previous Rating	Previous Rating Description	SMT Lead		
	10	E2 Significant		Louise Sandall	
	Current Rating	Current Rating Description	Last Review Date		
	10	E2 Significant		24/03/2010	
	Target Rating	Target Rating Description			
Likelihood	4	D1 Noticeable			
Risk Actions					
Status	Code	Title	Progress Bar	Lead	Latest Note
	Risk OD 07	Consider dual ISP/Internet feed	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #ccc; position: relative;"><div style="background-color: #0070c0; width: 5%; position: absolute; left: 0;"></div>5%</div>	Louise Sandall	To be considered as part on investigation of ISP as part of ICT Programme Plan


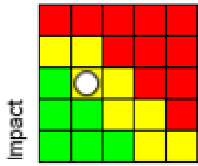

OD 05 ICT has no comprehensive second site					
Risk Code	Risk Title	Description	Status		
OD 05	ICT has no comprehensive second site				
Consequences		Business continuity			
Current Risk Matrix  Impact Likelihood	Previous Rating	Previous Rating Description	SMT Lead		
	10	E2 Significant	Louise Sandall		
	Current Rating	Current Rating Description	Last Review Date		
	10	E2 Significant	24/03/2010		
	Target Rating	Target Rating Description			
4	D1 Noticeable				
Risk Actions					
Status	Code	Title	Progress Bar	Lead	Latest Note
	Risk OD 08	Alternative site	<div style="border: 1px solid black; padding: 2px;">5%</div>	Louise Sandall	Investigate alternative site as part of corporate DR/BCP

OD 06 Failure to maintain IT software and hardware					
Risk Code	Risk Title	Description	Status		
OD 06	Failure to maintain IT software and hardware				
Consequences					
Current Risk Matrix  Impact Likelihood	Previous Rating	Previous Rating Description	SMT Lead		
	8	D2 Significant	Louise Sandall		
	Current Rating	Current Rating Description	Last Review Date		
	8	D2 Significant	24/03/2010		
	Target Rating	Target Rating Description			
3	C1 Noticeable				

OD 07 A successful attack against RDC infrastructure, system and premises					
Risk Code	Risk Title	Description	Status		
OD 07	A successful attack against RDC infrastructure, system and premises				
Consequences		Business disruption. Unplanned costs. Loss of information. Loss of reputation			
Current Risk Matrix		Previous Rating	Previous Rating Description	SMT Lead	
		9	C3 Significant	Louise Sandall	
		Current Rating	Current Rating Description		
		9	C3 Significant	Last Review Date	
		Target Rating	Target Rating Description	24/03/2009	
	Likelihood	2	A2 Noticeable		
Risk Actions					
Status	Code	Title	Progress Bar	Lead	Latest Note
	Risk OD 10	Upgrade internal and perimeter security to satisfy Government Connect requirements	<div style="width: 48%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 48%	Louise Sandall	Perimeter defence strengthened as part of Government Connect
	Risk OD 11	Expand centralised backup with capacity for all systems	<div style="width: 5%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 5%	Louise Sandall	Included with virtualisation project as a part of ICT Programme Plan

OD 08 Breakdown in Trade Union relations					
Risk Code	Risk Title	Description	Status		
OD 08	Breakdown in Trade Union relations				
Consequences		Strike(s). Lack of cooperation in moving the organisation forward.			
Current Risk Matrix		Previous Rating	Previous Rating Description	SMT Lead	
		4	B2 Noticeable	Louise Sandall	
		Current Rating	Current Rating Description		
		4	B2 Noticeable	Last Review Date	
		Target Rating	Target Rating Description	24/03/2009	
	Likelihood	1	A1 Noticeable		
Risk Actions					
Status	Code	Title	Progress Bar	Lead	Latest Note
	Risk OD 12	Working with Trade Unions	<div style="width: 0%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 0%	Louise Sandall	Terms of reference for meetings are being discussed. HR and Branch Secretary meet monthly or more if required. Health and Safety Committee is held jointly every quarter.

OD 09 Failure to manage partnership agreements				
Risk Code	Risk Title	Description	Status	
OD 09	Failure to manage partnership agreements			
Consequences		Constitution not adhered to. Poor customer service. SLA not managed.		
Current Risk Matrix  Impact Likelihood	Previous Rating	Previous Rating Description	SMT Lead	
	3	C1 Noticeable	Louise Sandall	
	Current Rating	Current Rating Description		
	3	C1 Noticeable	Last Review Date	
	Target Rating	Target Rating Description	24/03/2009	
2	B1 Noticeable			

OD 10 Data Quality (prev HR6)					
Risk Code	Risk Title	Description	Status		
OD 10	Data Quality (prev HR6)				
Consequences		Inaccurate information supplied to CMT, payroll, suppliers, councillors, members of the public. Loss of reputation. Loss of member and officer time. Loss of public confidence. Inability to progress projects effectively.			
Current Risk Matrix  Impact Likelihood	Previous Rating	Previous Rating Description	SMT Lead		
	9	C3 Significant	Louise Sandall		
	6	C2 Significant			
	Current Rating	Current Rating Description	Last Review Date		
	6	C2 Significant			
Target Rating	Target Rating Description				
Risk Actions					
Status	Code	Title	Progress Bar	Lead	Latest Note
	Risk OD 14	Managing Data	<input type="text" value="0%"/>	Louise Sandall	Processes are subject to a sign off. System review is currently underway.

THIS ITEM WAS DEFERRED AT THE MEETING ON 2 JULY 2009

**RYEDALE
DISTRICT
COUNCIL**



REPORT TO: OVERVIEW AND SCRUTINY COMMITTEE

DATE: 6 AUGUST 2009

REPORTING OFFICER: HEAD OF ENVIRONMENT
PHIL LONG

SUBJECT: SERVICE RISK REGISTER - ENVIRONMENT

WARDS AFFECTED: ALL

1.0 PURPOSE OF REPORT

1.1 This report presents the Service Risk Register (SRR) for those services under the Head of Environment.

2.0 RECOMMENDATIONS

2.1 It is recommended that Members receive the report and review the risk register.

3.0 REASONS SUPPORTING DECISION

3.1 Risk identification and management is an integral element of organisational management to secure the achievement of the Council's corporate objectives. Risk Management should also form a key part of any budget making decisions.

4.0 REPORT

4.1 Service Risk Registers were originally established from work undertaken by the Audit Partnership in conjunction with Service Unit Managers, however, since the management restructure the number of registers have been reduced and are now the responsibility of the Heads of Service and their managers. These registers have not yet been subject to Member review.

4.2 Annex A outlines the SRR for the Head of Environment. It is envisaged that each register will be presented to this committee on a rotational basis highlighting changes to risks and work undertaken to mitigate those risks.

5.0 CONCLUSION

5.1 Further reports will be brought to the Overview and Scrutiny Committee as the responsible committee for monitoring and evaluating risks within the Council.

OVERVIEW AND SCRUTINY COMMITTEE
6 August 2009

BACKGROUND PAPERS: None

OFFICER CONTACT: Please contact Phil Long if you require any further information on the contents of this report. The officer can be contacted at Ryedale House on 01653 600666 or e-mail phil.long@ryedale.gov.uk.

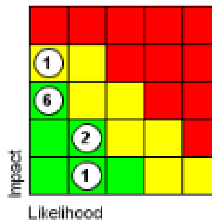
Service Risk Register Environmental Services



Generated on: 17 June 2009

Facilities

Current Heat Map



FE 01 Sale/purchase of property at incorrect values and asset valuations not shown at true balance on balance sheet

Risk Code	Risk Title	Description	Status
FE 01	Sale/purchase of property at incorrect values and asset valuations not shown at true balance on balance sheet	Sale/purchase of property at incorrect values and asset valuations not shown at true balance on balance sheet	
Consequences		Financial cost to the Council and breach of S123 Local Gov Act.	
Current Risk Matrix		Previous Rating	Previous Rating Description
		4	B2 Noticeable
		Current Rating	Current Rating Description
		4	B2 Noticeable
		Target Rating	Target Rating Description
		SMT Lead	Phil Long
		Last Review Date	28/05/2009


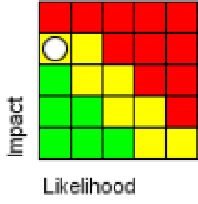


FE 02 Failure to adhere to correct procedures in Landlord and Tenant matters.

Risk Code	Risk Title	Description	Status
FE 02	Failure to adhere to correct procedures in Landlord and Tenant matters.	Failure to adhere to correct procedures in Landlord and Tenant matters.	
Consequences		Not obtaining vacant possession of properties when required.	
Current Risk Matrix		Previous Rating	Previous Rating Description
		3	C1 Noticeable
		Current Rating	Current Rating Description
		3	C1 Noticeable
		Target Rating	Target Rating Description
		SMT Lead	Phil Long
		Last Review Date	28/05/2009


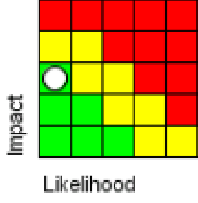
FE 03 Failure in carrying out rent and lease reviews			
Risk Code	Risk Title	Description	Status
FE 03	Failure in carrying out rent and lease reviews.	Failure in carrying out rent and lease reviews.	
Consequences		Not maximising rental income	
Current Risk Matrix Impact Likelihood	Previous Rating	Previous Rating Description	
	3	C1 Noticeable	SMT Lead
	Current Rating	Current Rating Description	Phil Long
	3	C1 Noticeable	Last Review Date
	Target Rating	Target Rating Description	28/05/2009


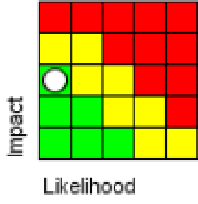
FE 04 Capital projects			
Risk Code	Risk Title	Description	Status
FE 04	Capital projects	Capital projects	
Consequences		Failure to implement and complete within specified dates. Exceed budget. Reputation	
Current Risk Matrix Impact Likelihood	Previous Rating	Previous Rating Description	
	4	B2 Noticeable	SMT Lead
	Current Rating	Current Rating Description	Phil Long
	4	B2 Noticeable	Last Review Date
	Target Rating	Target Rating Description	28/05/2009


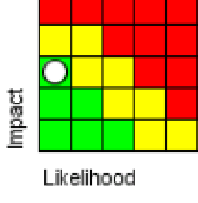
FE 05 Street Lighting - knockdowns


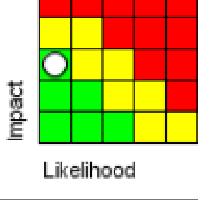
Risk Code	Risk Title	Description	Status	
FE 05	Street Lighting - knockdowns	Street Lighting - knockdowns		
Consequences		Exposure of public to risk of electrocution. Health & Safety		
	Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead
		4	D1 Noticeable	Phil Long
		Current Rating	Current Rating Description	Last Review Date
		4	D1 Noticeable	28/05/2009
		Target Rating	Target Rating Description	
	3	C1 Noticeable		
Risk Actions				
Status	Code	Title	Progress Bar	Lead
	Risk FE 01	Monitor any in hour knock downs to ensure prompt action taken	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; position: relative;"><div style="position: absolute; width: 25%; height: 100%;"></div></div> 25%	Phil Long; David Summers
	Risk FE 02	Monitor any knockdowns to ensure that there are no in or out of hours issues with the authorities' response	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; position: relative;"><div style="position: absolute; width: 25%; height: 100%;"></div></div> 25%	Phil Long; David Summers


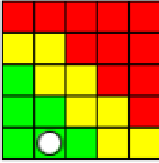
FE 06 Street Lighting

Risk Code	Risk Title	Description	Status	
FE 06	Street Lighting			
Consequences		Possibility of column collapse		
	Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead
		3	C1 Noticeable	Phil Long
		Current Rating	Current Rating Description	Last Review Date
		3	C1 Noticeable	01/06/2009
		Target Rating	Target Rating Description	

FE 07 Failure to regularly inspect the condition of all buildings			
Risk Code	Risk Title	Description	Status
FE 07	Failure to regularly inspect the condition of all buildings		
Consequences		Health & safety and legal implications	
Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead
	3	C1 Noticeable	Phil Long
	Current Rating	Current Rating Description	
	3	C1 Noticeable	Last Review Date
	Target Rating	Target Rating Description	01/06/2009

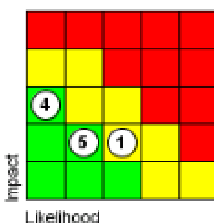
FE 08 Property Unit – team member leaving			
Risk Code	Risk Title	Description	Status
FE 08	Property Unit – team member leaving		
Consequences		Backlog of work / failure in delivery of service	
Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead
	3	C1 Noticeable	Phil Long
	Current Rating	Current Rating Description	
	3	C1 Noticeable	Last Review Date
	Target Rating	Target Rating Description	01/06/2009

FE 09 Street naming & numbering – incorrectly addressed			
Risk Code	Risk Title	Description	Status
FE 09	Street naming & numbering – incorrectly addressed		
Consequences		Reputation / financial	
Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead
	3	C1 Noticeable	Phil Long
	Current Rating	Current Rating Description	
	3	C1 Noticeable	Last Review Date
	Target Rating	Target Rating Description	01/06/2009

FE 10 Property Unit – inadequate training			
Risk Code	Risk Title	Description	Status
FE 10	Property Unit – inadequate training		
Consequences		Not keeping with up to date with legislation etc resulting in losing professional qualification	
Current Risk Matrix		Previous Rating	Previous Rating Description
	2	A2 Noticeable	Phil Long
	Current Rating	Current Rating Description	
	2	A2 Noticeable	Last Review Date
	Target Rating	Target Rating Description	01/06/2009
Likelihood			

Health & Environment


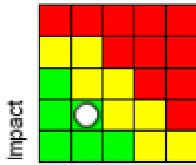
Current Risk Matrix




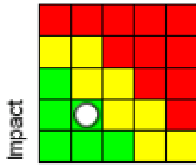
HE 01 Inadequate capacity to respond to major incident

Risk Code	Risk Title	Description	Status	
HE 01	Inadequate capacity to respond to major incident	Inadequate capacity to respond to major incident e.g. food poisoning, major contamination risk or introduction of new legislation e.g. Private water Supplies or new area of work		
Consequences		Capacity to respond to such incident/legislation would impact on the routine work of the section-Inadequate skills and knowledge-Unable to comply with statutory requirements-poor assessment by external inspectors/agencies		
Current Risk Matrix 	Previous Rating	Previous Rating Description	SMT Lead	
	6	B3 Significant		
	Current Rating	Current Rating Description	Last Review Date	
	6	B3 Significant		
	Target Rating	Target Rating Description		
4	B2 Noticeable	11/06/2009		
Risk Actions				
Status	Code	Title	Progress Bar	Lead
	Risk HE 01-	In eventuality re prioritisation of work by SUM and potential of assistance from Partnering Authorities	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; color: white; display: flex; align-items: center; justify-content: center;">25%</div>	Phil Long; Steven Richmond


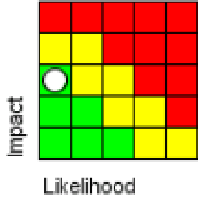
HE 02 Inadequate staffing capacity to respond to the existing commitments and government initiatives on sport, play and leisure

Risk Code	Risk Title	Description	Status
HE 02	Inadequate staffing capacity to respond to the existing commitments and government initiatives on sport, play and leisure		
Consequences		-failure to deliver the Big Lottery Programme-Inadequate skills and knowledge-failure to capitalize on financial grants for the District-failure to advance initiatives in play and sport	
Current Risk Matrix  Impact Likelihood	Previous Rating	Previous Rating Description	SMT Lead
	4	B2 Noticeable	Phil Long
	Current Rating	Current Rating Description	
	4	B2 Noticeable	Last Review Date
	Target Rating	Target Rating Description	11/06/2009


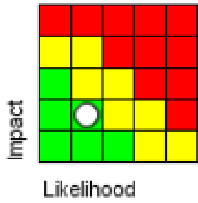
HE 03 Recruitment & Retention of staff

Risk Code	Risk Title	Description	Status
HE 03	Recruitment & Retention of staff		
Consequences		-Inadequate staffing to fulfil service requirements-Difficulty recruiting due to high house prices and national shortage of EHO's-Inadequate experienced and specialised staff-Failure to meet legislative requirements.	
Current Risk Matrix  Impact Likelihood	Previous Rating	Previous Rating Description	SMT Lead
	4	B2 Noticeable	Phil Long
	Current Rating	Current Rating Description	
	4	B2 Noticeable	Last Review Date
	Target Rating	Target Rating Description	11/06/2009


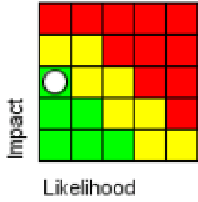
HE 04 Private Water Supply regulations


Risk Code	Risk Title	Description	Status
HE 04	Private Water Supply regulations		
Consequences		Non compliance with statutory duty	
Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead
	3	C1 Noticeable	Phil Long
	Current Rating	Current Rating Description	
	3	C1 Noticeable	Last Review Date
	Target Rating	Target Rating Description	11/06/2009


HE 05 Contaminated Land.


Risk Code	Risk Title	Description	Status
HE 05	Contaminated Land	Requirement to identify number of sites of potential concern and number of sites where remediation of land is necessary	
Consequences		Failure to implement contaminated land strategy and limit the Council's liability. Failure to provide funding for additional resources. Shared officer post with Selby now ended. Strategy reviewed by CS&L 31/1/08.	
Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead
	4	B2 Noticeable	Phil Long
	Current Rating	Current Rating Description	
	4	B2 Noticeable	Last Review Date
	Target Rating	Target Rating Description	11/06/2009

HE 06 Health & Safety Enforcement


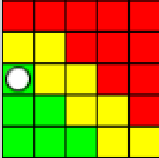
Risk Code	Risk Title	Description	Status
HE 06	Health & Safety Enforcement		
Consequences		(a)Failure to participate in the FIT 3 programme for 2008/09.New Section 18 requirements published and needs reviewing. Have up to 3 years to comply.(b) Incorporate H&S within ISO 9001:2000 Quality Management System	
Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead
	3	C1 Noticeable	Phil Long
	Current Rating	Current Rating Description	
	3	C1 Noticeable	Last Review Date
	Target Rating	Target Rating Description	11/06/2009

HE 07 MVM Software and e government developments			
Risk Code	Risk Title	Description	Status
HE 07	MVM Software and e government developments		
Consequences		Northgate MVM system which deals with all Env Health and Housing systems installed in October 2005.. Next step is to link to the corporate gazetteer to permit the functioning of other e-gov smart options e.g. mobile working etc	
Current Risk Matrix		Previous Rating	Previous Rating Description
		4	B2 Noticeable
		Current Rating	Current Rating Description
		4	B2 Noticeable
		Target Rating	Target Rating Description
			SMT Lead
			Phil Long
			Last Review Date
			11/06/2009

HE 08 Compliance/performance on new NI Indicators			
Risk Code	Risk Title	Description	Status
HE 08	Compliance/performance on new NI Indicators		
Consequences		Poor performance nationally reflecting on Comprehensive Area Assessment (CAA)	
Current Risk Matrix		Previous Rating	Previous Rating Description
		3	C1 Noticeable
		Current Rating	Current Rating Description
		3	C1 Noticeable
		Target Rating	Target Rating Description
			SMT Lead
			Phil Long
			Last Review Date
			11/06/2009

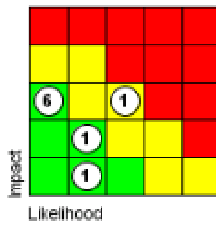
HE 09 Food Safety			
Risk Code	Risk Title	Description	Status
HE 09	Food Safety	(a) Implementation of new FSA Code of Practice and Monitoring system (LAMES) (b) Introduction of Scores on the Doors	
Consequences		Consequent scrutiny of FSA	
Current Risk Matrix		Previous Rating	Previous Rating Description
		4	B2 Noticeable
		Current Rating	Current Rating Description
		4	B2 Noticeable
		Target Rating	Target Rating Description
			SMT Lead
			Phil Long
			Last Review Date
			11/06/2009

HE 10 Local Air Quality Management (LAQM)-Air Quality Review and Assessment

Risk Code	Risk Title	Description	Status
HE 10	Local Air Quality Management (LAQM)-Air Quality Review and Assessment		
Consequences		-Failure to meet Defra deadline. Possibility of requirement to undertake modelling and /or Declare Air Quality management Area.-LA highlighted as a non responder . Ultimately LA would have to provide explanation to Minister	
Current Risk Matrix		Previous Rating	Previous Rating Description
<div style="display: flex; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small; margin-right: 5px;">Impact</div>  </div> <div style="margin-top: 5px; font-size: x-small;">Likelihood</div>		3	C1 Noticeable
		Current Rating	Current Rating Description
		3	C1 Noticeable
		Target Rating	Target Rating Description
		SMT Lead	Phil Long
		Last Review Date	11/06/2009

Streetscene


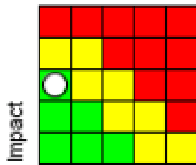
Current Heat Map




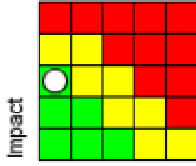
SS 01 Waste Management (recycling & refuse collection)

Risk Code	Risk Title	Description	Status
SS 01	Waste Management (recycling & refuse collection)	Meeting recycling standards. Vehicle failure. Strikes. Failure of management systems. Limited contracts for composting and dry recyclables	
Consequences		Failure to collect refuse to 23K households resulting in adverse publicity/environmental public health issues. Removal of service from RDC. Possible removal of funding. Difficulties in marketing recyclable products if businesses fail	
Current Risk Matrix		Previous Rating	Previous Rating Description
		3	C1 Noticeable
		Current Rating	Current Rating Description
		3	C1 Noticeable
		Target Rating	Target Rating Description
		SMT Lead	
		Phil Long	
		Last Review Date	
		11/06/2009	


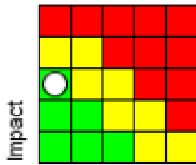
SS 02 Failure to provide a collection service for Trade Waste.

Risk Code	Risk Title	Description	Status
SS 02	Failure to provide a collection service for Trade Waste.	Increased levels of landfill tax by central government plus LATS liabilities potentially pricing District provided trade waste out of the existing market. (NB external contractors are not faced with the same LATS penalties)	
Consequences		Loss of revenue. Loss of customers. Potential increase in cost re domestic waste collection. Revenue budget implications.	
Current Risk Matrix		Previous Rating	Previous Rating Description
	3	C1 Noticeable	SMT Lead
	Current Rating	Current Rating Description	Phil Long
	3	C1 Noticeable	Last Review Date
	Target Rating	Target Rating Description	11/06/2009

SS 03 Failure to provide a street cleaning service.

Risk Code	Risk Title	Description	Status
SS 03	Failure to provide a street cleaning service.		
Consequences		Court Action under Environment Protection Act. Adverse publicity. Environmental/public health issues if service not carried out. Reputation of the Council	
Current Risk Matrix		Previous Rating	Previous Rating Description
	3	C1 Noticeable	SMT Lead
	Current Rating	Current Rating Description	Phil Long
	3	C1 Noticeable	Last Review Date
	Target Rating	Target Rating Description	11/06/2009

SS 04 Failure to ensure that Taxi's are appropriately licensed.


Risk Code	Risk Title	Description	Status
SS 04	Failure to ensure that Taxi's are appropriately licensed.		
Consequences		Public not protected - physically/financially. Trade unregulated – no control on fees charges/vehicle safety.	
Current Risk Matrix		Previous Rating	Previous Rating Description
	3	C1 Noticeable	SMT Lead
	Current Rating	Current Rating Description	Phil Long
	3	C1 Noticeable	Last Review Date
	Target Rating	Target Rating Description	11/06/2009

SS 05 Failure to secure and administer 'minor contracts'			
Risk Code	Risk Title	Description	Status
SS 05	Failure to secure and administer 'minor contracts'		
Consequences		Loss of revenue. Loss of manpower.	
Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead
 Likelihood	2	A2 Noticeable	Phil Long
	Current Rating	Current Rating Description	
	2	A2 Noticeable	Last Review Date
	Target Rating	Target Rating Description	11/06/2009

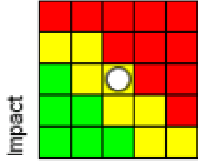
SS 06 Failure to maintain vehicles.			
Risk Code	Risk Title	Description	Status
SS 06	Failure to maintain vehicles.	Failure to comply with requirements of O licence.	
Consequences		HSE enforcement action. Operator's licence withdrawn. Potentially no services – depot closes. Corporate manslaughter charges.	
Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead
 Likelihood	3	C1 Noticeable	Phil Long
	Current Rating	Current Rating Description	
	3	C1 Noticeable	Last Review Date
	Target Rating	Target Rating Description	11/06/2009

SS 07 failure to comply with Health & Safety			
Risk Code	Risk Title	Description	Status
SS 07	Failure to comply with Health & Safety		
Consequences		Injury to staff. Litigation. Reputation to the Council. Financial cost.	
Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead
 Likelihood	3	C1 Noticeable	Phil Long
	Current Rating	Current Rating Description	
	3	C1 Noticeable	Last Review Date
	Target Rating	Target Rating Description	11/06/2009


SS 08 Depot security is compromised.

Risk Code	Risk Title	Description	Status
SS 08	Depot security is compromised.		

Consequences Stolen of damaged goods/property. Insurance costs.

Current Risk Matrix	Previous Rating	Previous Rating Description	SMT Lead
 <p>Impact</p> <p>Likelihood</p>	9	C3 Significant	Phil Long
	Current Rating	Current Rating Description	
	9	C3 Significant	11/06/2009
	Target Rating	Target Rating Description	

Risk Actions

Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Risk SS 03	Increased CCTV coverage is being investigated. A new fence has been purchased and awaits erection at back of depot	Increased CCTV coverage or new fence at back of depot	<div style="border: 1px solid black; padding: 2px; width: 100px;">70%</div>	Phil Long; Beckie Bennett	New CCTV system implemented, currently looking at cost of upgrading. Fence purchased for rear and awaiting installation

SS 09 Failure to hit performance targets

Risk Code	Risk Title	Description	Status
SS 09	Failure to hit performance targets		
Consequences		Will pull the Authority down in its CAA assessments. Failure to manage data quality adequately	
Current Risk Matrix		Previous Rating	Previous Rating Description
	4	B2 Noticeable	SMT Lead
	Current Rating	Current Rating Description	Phil Long
	4	B2 Noticeable	Last Review Date
	Target Rating	Target Rating Description	11/06/2009

Key:

Risk Status	
	OK
	Warning
	Alert
	Unknown

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For the attention of Overview & Scrutiny Committee

COMMUNITY SERVICES COMMITTEE

Decisions of a Meeting held on 23 July 2009

Overview & Scrutiny Committee Observers: Councillors Cussons, Raper and Shields

1. **Apologies for Absence**

Councillor Mrs Arnold and Councillor Ms Warriner

2. **Minutes of a meeting of the Community Services & Licensing Committee held on 11 June 2009**

Minutes Agreed

3. **Urgent Business**

There was one item of business which the Chairman took as urgent business, please see item 12 for details

4. **Declarations of Interest**

Councillor Hemesley declared an interest in the urgent business (item 12) as the Council's representative on Community Leisure Limited.

5. **Items Referred from Council**

There were no items referred from Council

PART A - Matters to be dealt with under delegated powers or matters determined by Committee.

6. **Annual Report**

Recommendations Agreed

7. **Government Action to Prevent Repossessions**

Recommendations Agreed .

8. **Sub Regional Homelessness Strategy and Review of Ryedale's Action Plan**

Recommendations Agreed

9 **Housing Performance Report**

Recommendations Agreed

Date of decision list: 24 July 2009

Implementation date for decisions: 10 August 2009

PART B - Matters referred to Council

10. Mortgage Rescue Scheme

Recommendations Agreed

11 CO2 Performance and Targets

Recommended:

That Council be recommended to approve that the target for reductions in carbon dioxide (CO2) emissions for Ryedale district council be a minimum of 2% in 2009/2010 and a minimum of 3% in 2010/2011.

12 Urgent business

Councillor Hemesley tabled a document which was the first draft of a sport and physical recreation strategy, which had been drawn up by the Chief Executive of Community Leisure Limited and Councillor Hemesley.

Resolved:

That the document be received and referred to officers for consideration in developing a sports strategy and that a further report be brought to a future Committee.

The meeting closed at 8.35 pm