



## **OVERVIEW AND SCRUTINY COMMITTEE**

Thursday 8 July 2010 at 6.30 pm

**MEMBER'S LOUNGE, RYEDALE HOUSE, MALTON**

### **Agenda**

**1 Emergency Evacuation Procedure.**

The Chairman to inform Members of the Public of the emergency evacuation procedure.

**2 Apologies for absence**

**3 Minutes of the Meeting of 21 June 2010**

(Pages 1 - 4)

**4 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 100B(4)(b) of the Local Government Act 1972.

**5 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.

**6 Police Authority Training Arrangements**

A verbal update will be given

- 7 **Annual Audit Planning Report** (Pages 5 - 20)
- 8 **Service Risk Register - Housing and Economy** (Pages 21 - 44)
- 9 **Annual Internal Audit Report 2009/10** (Pages 45 - 56)
- 10 **Attendance at Policy Committees** (Pages 57 - 60)
- 11 **Customer Complaints Monitoring** (Pages 61 - 72)
- 12 **Sickness Absence Statistics** (Pages 73 - 74)
- 13 **Future Scrutiny Review discussion**
- 14 **Decisions from other Committees** (Pages 75 - 86)  
Commissioning Board held on 3 June 2010  
Policy and Resources held on 24 June 2010
- 15 **Any other business that the Chairman decides is urgent.**

## Overview and Scrutiny Committee

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Held at Members' Lounge, Ryedale House, Malton  
on Monday 21 June 2010

### Present

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Councillors Clark, Cottam, Cussons (Vice-Chair), Mrs Shields (Chairman), Mrs Wilford and Windress

### In Attendance

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Audrey Adnitt, Trevor Anderson and Paul Cresswell

### Minutes

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#### 1 Apologies for absence

Apologies were received from Councillors Andrews, Maud and Raper

#### 2 Minutes of the 8 April 2010

The minutes of the meeting of the Overview & Scrutiny Committee held on the 8 April 2010 were presented.

#### Resolved

That the minutes of the meeting of the Overview & Scrutiny Committee held on the 8 April 2010 be accepted as a correct record.

With reference to Minute No. 84, Councillor Mrs Wilford asked for an update in relation to a previous concern regarding the declarations of interest at the Community Services meeting held on the 25 March 2010. The Corporate Director (s151) confirmed that the Monitoring Officer had provided the further clarity needed.

Councillor Clark expressed some concern with reference to Minute No. 87, and was of the opinion that the recommendations from Deloitte, were in "Local Government language", and therefore difficult for a member of the public to understand.

#### 3 Urgent Business

The Chairman reported that there were be one item to be dealt with at the meeting as matter of urgency by virtue of Section 100(B)(4)(b).

#### 4 Declarations of Interest

No declarations of interest were received.

## 5 **Annual Governance Statement**

The Corporate Director (s151) submitted a report (previously circulated), the purpose of which was for Members to critically review the Annual Governance Statement (AGS) as required under the Accounts & Audit (Amendment) (England) Regulations 2006.

The preparation and publication of an annual governance statement in accordance with the CIPFA/SOLACE Framework was necessary to meet the statutory requirements set out in Regulation 4 (2) of the Accounts and Audit Regulations 2003, as amended by the Accounts and Audit (Amendment)(England) Regulations 2006 which required authorities to “conduct a review at least once a year of the effectiveness of its system of internal control” and to prepare a statement of internal control “in accordance with proper practices”.

The Policy and Resources Committee had adopted the CIPFA Framework for producing the AGS. Part of this framework was for the Council’s Overview & Scrutiny Committee to consider the AGS and its content. The document had then to be signed by the Chief Executive and the Leader of the Council. This emphasised that the document was all about corporate controls and was not confined to financial issues.

The External Auditor would be considering the AGS as part of his auditing of the Statement of Financial Accounts. The auditor was required to issue his opinion on the accounts and sign them off. Any matters arising from the audit work of the External Auditor would be brought to the attention of the Committee in due course.

The Corporate Management Team, together with other appropriate senior officers had reviewed controls in some detail. In addition, comments, evidence and feedback from a number of internal and external sources had been reviewed in the compilation of the AGS.

The report and Action Plan were discussed in detail and Officers addressed concerns expressed by some Members regarding asset management and the role of Member Champions.

### **Resolved**

That the Policy & Resources Committee be recommended to approve the Annual Governance Statement and its associated Action Plan.

6 **Statement of Accounts 2009/10**

The Corporate Director (s151) submitted a report (previously circulated) setting out Ryedale District Council's Statement of Accounts for 2009/10.

The accounts included in the Statement consisted of:

- Statement of Responsibilities for the Accounts
- Annual Governance Statement
- Statement of Accounting Policies
- Income & Expenditure Account
- Statement of Movement on the General Fund Balance
- Statement of Total Recognised Gains & Losses
- Balance Sheet
- Cash Flow Statement
- Collection Fund Account

The Finance and Revenue Services Manager and Corporate Director (s151) presented the report and provided further details during the discussions.

The Chair and Corporate Director (s151) thanked the Finance and Revenue Services Manager and his team for all their hard work in producing a comprehensive statement of accounts.

**Resolved**

That the statement of accounts 2009/10 be received and referred to the Policy and Resources Committee.

7 **Any other business that the Chairman decides is urgent.**

The Chair advised that as part of the ongoing review of Sickness Absence, a task group meeting was to be arranged, and an Officer from Selby District Council would be attending to provide details of Selby's sickness absence policy.

There were two potential dates for the task group meeting, and the general consensus was that Wednesday 21 July 2010 would be most convenient.

**Resolved**

That a task group meeting be arranged for Wednesday 21 July 2010 at 6.30pm.

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Ryedale District Council

Report to the Overview and  
Scrutiny Committee on the 2010  
Audit

Planning Report

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# Executive summary

We have pleasure in setting out in this document details of our proposed audit scope for Ryedale District Council for the year ending 31 March 2010.

## Audit scope

This document is in relation to the proposed forthcoming audit of Ryedale District Council (the Council). The audit is to be undertaken in accordance with International Standards on Auditing (UK and Ireland) as adopted by the UK Auditing Practices Board and as required under our contract with the Audit Commission.

In light of recent announcements made by the new coalition government and the correspondence issued by the Audit Commission on 28 May 2010 to Chief Executives, the work on the Comprehensive Area Assessment has ceased with immediate effect. We will use the work performed to date on the Comprehensive Area Assessment and perform any further work required in order for us to be able to issue the value for money conclusion with our audit opinion.

## Materiality

Materiality levels are calculated on the basis of total gross expenditure for the year. We estimate materiality based on expected results for the full year to be £386,810 (2009: £373,420).

We will report to the Overview and Scrutiny Committee on all unadjusted misstatements greater than £7,736 (2009: £7,468) unless they are qualitatively material.

## Key audit risks

The key audit risks that we have identified as part of our overall audit strategy are:

1. Pension Scheme assumptions;
2. Adequacy of bad and doubtful debt provisioning;
3. Valuation of fixed assets;
4. Valuation of investments;
5. Changes to the accounting framework;
6. Accounting for share of partnership assets and liabilities; and
7. Presumed risk of revenue recognition fraud.

Further details of the specific risks are set out in the main body of this report.

# Executive summary (continued)

## Prior year uncorrected misstatements and disclosure deficiencies

Prior year uncorrected misstatements are those misstatements identified during the audit of the financial statements for the year ended 31 March 2009:

### Errors of fact:

1. Cash held in Girobank accounts of £16,463 classified as a debtor rather than cash. Net effect on Income and Expenditure account - £nil;
2. Cash received in respect of NNDR before the year end of £13,400 was not recorded until after the year end in the subsequent accounting period. Net effect on Income and Expenditure account – £13,400;
3. No provision was made for historic National Insurance debtors of £13,009 which are not considered to be recoverable. Net effect on Income and Expenditure account – £13,009.
4. Waste bins used by Council to generate income classified as stock rather than tangible fixed assets. Net effect on Income and Expenditure - £nil.
5. Council share of difference between actuarial value of assets and assets held by the Fund of £29,681. Net effect on Income and Expenditure accounts - £nil.

### Errors of judgement:

6. Additional bad debt provision of £140,720 considered necessary due to downturn in general economic environment

The uncorrected misstatements were considered to be not material in aggregate in the year ended 31 March 2009. There were no identified misstatements corrected in the year ended 31 March 2009.

No material uncorrected disclosure deficiencies were noted.

# Executive summary (continued)

## Timetable

This year's timetable comprised a planning visit, which lasted for five days beginning 22 March 2010, and a final visit, which will last 4-5 weeks starting 12 July 2010.

This report sets out the findings from our planning visit. The findings from the final visit will be presented at the Overview and Scrutiny Committee meeting in September 2010.

## Findings from the planning visit

We have substantially completed our planning visit and set out in this report for your attention our findings and recommendations. It should be noted that our testing of journal entries was not be completed during the planning visit and we will perform this review during the year-end visit.

We have completed our review of the IT environment and we will provide detailed feedback on the issues arising in the year under review and an update on the matters raised in the prior year in due course.

We will provide an update on the control points identified for the year ended 31 March 2009 as part of report on the findings of our audit for the year ended 31 March 2010, which will be presented to the Overview and Scrutiny Committee in September 2010.

## Independence

Deloitte have developed important safeguards and procedures in order to ensure our independence and objectivity. These are set out in the "Independence policies and procedures" section of our "Briefing on Audit Matters" document attached.

We will reconfirm our independence and objectivity to the Overview and Scrutiny Committee for the year ending 31 March 2010 in our final report to the Overview and Scrutiny Committee.

## Matters for those charged with governance

We have communicated to you separately in our publication entitled "Briefing on Audit Matters", attached, those additional items that we are required to report upon in accordance with International Standards on Auditing (UK & Ireland). We will report to you at the final audit stage any matters arising in relation to those requirements.

# 1. Scope of work and approach

We will conduct our audit in accordance with International Standards on Auditing (UK and Ireland) (“ISA (UK and Ireland)”) as adopted by the UK Auditing Practices Board (“APB”) and the Code of Audit Practice. Our audit objectives are set out in our “Briefing on audit matters” document, attached.

The audit opinion we intend to issue will reflect the financial reporting framework required of Local Councils and as set out in the Code of Practice on Local Council Accounting in the United Kingdom 2010.

For the 2010 financial statements, we have used the latest budgeted gross expenditure as the benchmark for our materiality assessment as this statistic, in our view, represents the most appropriate measure of the scale of the organisation and, therefore, best reflects the context within which any misstatements should be considered.

In accordance with our established methodology we have calculated a monetary indicator of materiality by applying a sliding scale factor to the budgeted gross expenditure. For the current year this factor has been calculated as approximately a 1.4% (2009: 1.4%) which gives planning materiality of £386,810 (2009: £373,420)

This assessment takes into account our knowledge of the organisation, our assessment of audit risks and the reporting requirements for the financial statements. The concept of materiality and its application to the audit approach are set out in our Briefing on Audit Matters document.

The extent of our procedures is not based on materiality alone but also on local considerations of the quality of systems and controls in preventing material misstatement in the financial statements, and the level at which known and likely misstatements are tolerated by you in the preparation of the financial statements.

## 2. Key audit risks

Based upon our initial audit risk assessment and following our interim review, we will concentrate specific audit effort on the following areas:

### Pension Scheme Assumptions

#### **Risk & Response**

In the current climate the choice of pension inflation, discount and yield assumptions will be both difficult and judgemental. Small and apparently insignificant changes to these key assumptions can have material consequences for the actuarial assessment of the liability included within the financial statements of the Council.

We will document the process the Council has put in place to determine the assumptions and will use our in house pension and actuarial department to review these assumptions for reasonableness based upon prevailing market factors.

It should be noted that in our review of the 2009 assumptions, our specialists indicated that the discount rate used of 7.1% was towards the upper (aggressive) end of the acceptable range, although it was not unreasonable.

### Adequacy of bad and doubtful debt provisioning

#### **Risk & Response**

In the current climate there is likely to be more pressure on the Council's rate-payers' financial resources. It therefore follows that there is likely to be a higher level of unpaid debts at the balance sheet date and potentially more bad and/or doubtful debts occurring.

We will document the process the Council has in place for reviewing and providing against bad and doubtful debts owed to the Council at the balance sheet date. We will review the calculation of the year end provision and consider the adequacy of the provision in the light of available evidence. This will include the ageing profile of debtors at the year end and at the time of audit, the history of bad debt exposure, recent changes in payment profile and subsequent post year-end cash receipts against year-end debtor balances.

### Valuation of fixed assets

#### **Risk & Response**

In the current climate the property market is very volatile and there is the potential for valuations of property and other assets to have fallen since the prior year-end.

We will obtain a copy of the third party valuation report and review a sample the valuations for arithmetic accuracy. We will consider whether there is indication of any impairment from the third party valuations and whether any noted impairment should be applied more widely to other assets that have not been valued in the current year.

## 2. Key audit risks (continued)

### Valuation of investments

#### **Risk & Response**

Following the events which occurred in Iceland during 2008 and other similar events that are ongoing in other European economies, a risk exists regarding the valuation of investments held by all Councils.

We will obtain third party confirmations in respect of all investments held by the Council at the year-end and consider any relevant economic factors existing at the year-end and up to the date of our audit opinion.

### Changes to the accounting framework

#### **Risk & Response**

The financial statements of all Councils are required to comply with the accounting requirements of the Local Government Statement of Recommended Practice ("SORP"). A new SORP is issued every year ("the 2009 SORP" applies this year). The main changes in the 2009 SORP are in respect of the accounting for Council Tax and National Non-Domestic Rates which are now required to reflect the substance of the arrangement as effectively a collection agency. The comparative figures for 2008/09 are required to be reworked on this new basis and the financial statements will include a prior period adjustment in respect of this change in accounting policy.

In addition, there are new disclosure requirements with respect to senior officers' remuneration whereby the titles and, in some instances, the names of senior officers are required to be disclosed if certain levels of remuneration are exceeded.

We will review the Council's calculations of the change in accounting policy for the current and prior year figures alongside the detailed requirements of the 2009 SORP. We will also review the senior officers' remuneration disclosures alongside the 2009 SORP requirements.

## 2. Key audit risks (continued)

### Accounting for share of partnership assets and liabilities

#### Risk & Response

The Council now utilises a number of partnerships (for example Building Control Partnership) for the provision of services to residents and businesses. A risk exists regarding the completeness of such information given the operations of the partnership is outside of the Council's direct control.

We will review management's process to ensure that they obtain all information regarding partnership assets and liabilities in a prompt manner and reflect them appropriately in the financial statements.

### Presumed risk of revenue recognition fraud

#### Risk & Response

International Auditing Standards (UK and Ireland) 240 – "The auditor's responsibility to consider fraud in an audit of financial statements" requires the auditors to perform certain audit procedures related specifically to fraud risk, and requires a presumption that revenue recognition is a specific risk.

For the Council, based on knowledge gained from previous audits we consider that the specific revenue recognition risk relates to the non-recognition of cash receipts as income, or their recognition in the wrong accounting period.

We will perform testing by selecting a sample of cash receipts and confirming that all income received was correctly recognised as income in the financial statements in the appropriate period. In addition, testing of grant income will be performed to ensure that only income relating to the current year is recognised and deferred income balances are correctly stated.

## 3. Consideration of fraud

The primary responsibility for the prevention and detection of fraud rests with management and those charged with governance, including establishing and maintaining internal controls over the reliability of financial reporting, effectiveness and efficiency of operations and compliance with applicable laws and regulations. As auditors, we obtain reasonable, but not absolute, assurance that the financial statements as a whole are free from material misstatement, whether caused by fraud or error.

ISA (UK and Ireland) 240 – “The auditor’s responsibility to consider fraud in an audit of financial statements” requires us to document an understanding of how those charged with governance exercise oversight of management’s processes for identifying and responding to the risks of fraud and the internal control that management has established to mitigate these risks.

We have made inquiries of management, internal audit and others within the organisation as appropriate, regarding their knowledge of any actual, suspected or alleged fraud affecting the Council. In addition, we are required to discuss the following with the Overview and Scrutiny Committee:

1. Whether the Overview and Scrutiny Committee has knowledge of any fraud, alleged or suspected fraud?
2. The role that the Overview and Scrutiny Committee exercises in oversight of management’s assessment of the risks of fraud; and the design and implementation of internal control to prevent and detect fraud?
3. The Overview and Scrutiny Committee’s assessment of the risk that the financial statements may be materially misstated as a result of fraud.

We will be seeking representations in this area from the Council in due course.



### 3. Consideration of fraud (continued)

#### Management override of controls

In addition to the procedures above, we are required to design and perform audit procedures to respond to the risk of management's override of controls that will include:

- Having understood and evaluated the financial reporting process and the controls over journal entries and other adjustments made in the preparation of the financial statements, we will test the appropriateness of a sample of such entries and adjustments;
- We will undertake a review of accounting estimates for biases that could result in material misstatement due to fraud, including whether any differences between estimates best supported by evidence and those in the financial statements, even if individually reasonable, indicate a possible bias on the part of management;
- We will also perform a retrospective review of management's judgements and assumptions relating to significant estimates reflected in last year's financial statements;
- We will focus on accruals and deferred income for bias and even if individually reasonable, may indicate a possible bias on the part of management; and
- We will obtain an understanding of the business rationale of significant transactions that we become aware of that are outside the normal course of business or that otherwise appear to be unusual given our understanding of the organisation and its environment.

We are also required to presume that there are risks of fraud in revenue recognition and conduct our audit testing accordingly (See Key Audit Risks in section 2).

## 4. Internal control

### **Obtaining an understanding of internal control relevant to the audit**

As set out in the attached "Briefing on Audit Matters" for controls considered to be 'relevant to the audit' we are required to evaluate the design of the controls and determine whether they have been implemented ("D & I").

This includes reviewing controls relating to the financial reporting process, reconciliation of ledgers, the preparation of the financial statements and other reports, the reporting and processing of journals, the segregation of duties, related parties and key general computer controls relevant to the audit.

Our audit is not designed to provide assurance as to the overall effectiveness of the controls operating within the organisation, although we will report to management any recommendations on controls that we may have identified during the course of our audit work.

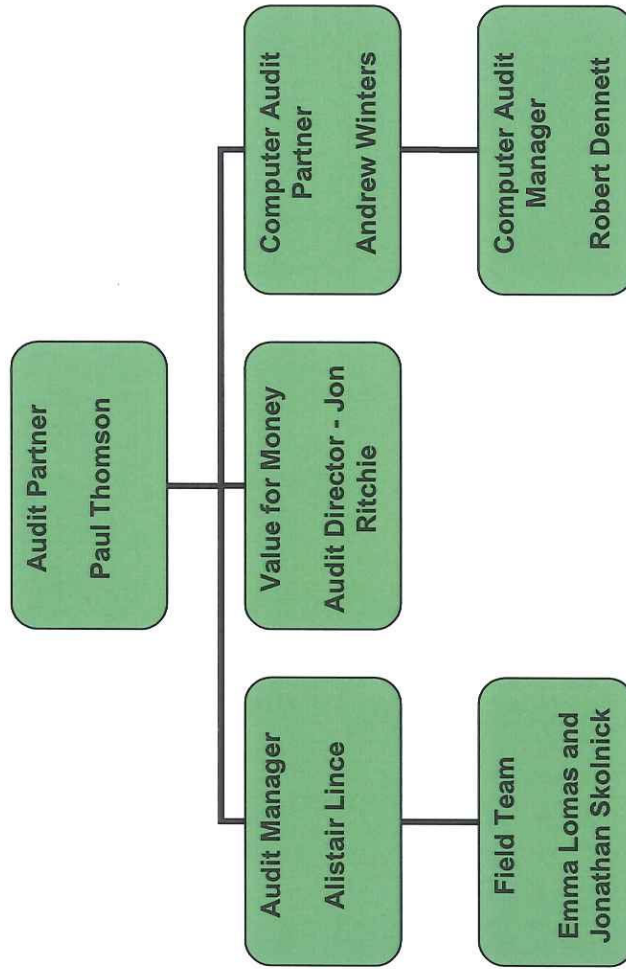
### **Liaison with internal audit**

We will liaise with Council's internal audit function on a constructive and complementary basis to maximise our combined effectiveness and eliminate duplication of effort. This co-ordination will enable us to derive full benefit from the Council's internal audit function, its system of documentation and risk identification during the planning of the external audit to the extent we determine we can rely on their work.

The audit team, following an assessment of the organisational status, scope of function, objectivity, technical competence and due professional care of the internal function, will review the findings of any relevant internal audits on the Council and adjust the audit approach as is deemed appropriate. Where internal audit identifies specific material deficiencies in the control environment, we will consider adjusting our testing so that any new additional specific audit risks are covered by our work.

# 5. Client service team

We set out below our audit engagement team.



## 6. Responsibility statement

The Audit Commission published a 'Statement of responsibilities of auditors and of audited bodies' alongside the Code of Audit Practice. The purpose of this statement is to assist auditors and audited bodies by summarising, in the context of the usual conduct of the audit, the different responsibilities of auditors and of the audited body in certain areas. The statement also highlights the limits on what the auditor can reasonably be expected to do.

Our report has been prepared on the basis of, and our work carried out in accordance with, the Code and the Statement of Responsibilities.

While our report includes suggestions for improving accounting procedures, internal controls and other aspects of your business arising out of our audit, we emphasise that our consideration of Ryedale District Council's system of internal financial control was conducted solely for the purpose of our audit having regard to our responsibilities under Auditing Standards and the Code of Audit Practice. We make these suggestions in the context of our audit but they do not in any way modify our audit opinion, which relates to the financial statements as a whole. Equally, we would need to perform a more extensive study if you wanted us to make a comprehensive review for weaknesses in existing systems and present detailed recommendations to improve them.

We view this report as part of our service to you for use, as Members, for corporate governance purposes and it is to you alone that we owe a responsibility to its contents. We accept no duty, responsibility or liability to any other person as the report has not been prepared, and is not intended, for any purpose. It should not be made available to any other parties without our prior written consent.

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**Deloitte LLP**  
Chartered Accountants

Leeds  
28 June 2010

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**Member of Deloitte Touche Tohmatsu**

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<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>8 JULY 2010</b>
<b>REPORT OF THE:</b>	<b>HEAD OF ECONOMY &amp; HOUSING JULIAN RUDD</b>
<b>TITLE OF REPORT:</b>	<b>SERVICE RISK REGISTER – ECONOMY &amp; HOUSING</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

- 1.1 This report presents the Service Risk Register for those services under the Head of Economy & Housing.

### **2.0 RECOMMENDATION**

- 2.1 It is recommended that members receive the report and review the risk register.

### **3.0 REASON FOR RECOMMENDATION**

- 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.
- 4.2 Annex A outlines the SRR for the Head of Economy & Housing. 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.
- 4.3 Members will note that in addition to 96 new affordable homes being provided in the year up to 31 March 2010, Ryedale Council approved grants during 09/10 of more than £400,000 to help adapt or improve 125 homes in Ryedale to better meet the needs of their occupiers. It also completed grants to a further 27 homes to a value of £257,000 to overcome mobility problems of their occupiers. Ryedale Council also invested £200K in a local mortgage rescue scheme to allow more Ryedale people to get support to stay in their homes, and the Council and its partners intervened to

prevent 194 cases of potential homelessness over the last year. All of these and many other initiatives help to address the vital issue of housing need.

## **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.

### **Julian Rudd Head of Economy & Housing**

Authors: Julian Rudd, Head of Economy & Housing  
Jos Holmes, Economy & Community Manager

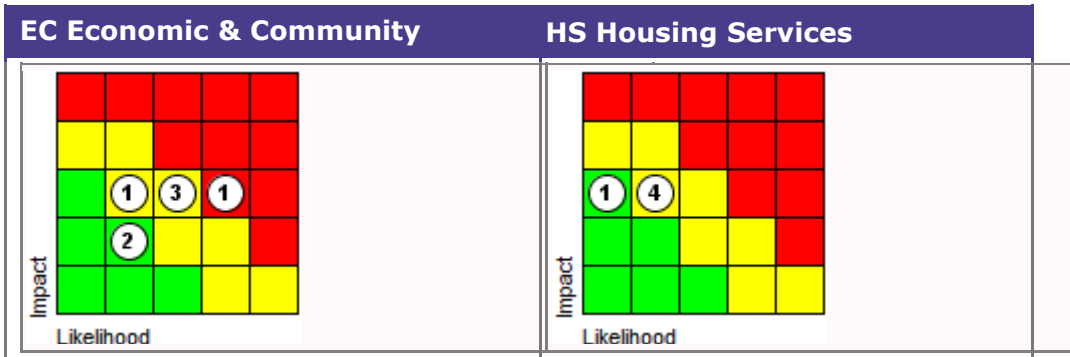
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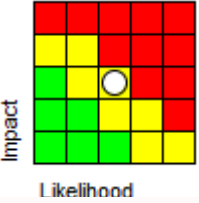
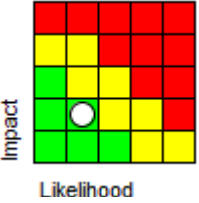


# Service Risk Register - Economy & Housing

Generated on: 29 June 2010




Risk Summary		
Status	Code	Title
Page 23	EC 01	Staff
	EC 02	Strategic Partnerships
	EC 03	External funding
	EC 04	External funding policy
	EC 05	External contracts
	EC 06	Industrial Units
	EC 07	Local economy
	HS 01	Affordable Housing / Housing Need targets not met.
	HS 02	Failure to prevent homelessness
	HS 03	Failure to improve private housing stock
	HS 04	Failure to enable independent living
	HS 05	failure to successfully review housing service


EC 01 Staff							
Risk Code	Risk Title		Description				Status
EC 01	Staff		Inadequate development and/or implementation of workforce development plans, resulting in difficulty in aligning business needs and staffing capacity.				
<b>Consequences</b>			Loss of revenue and failure to meet targets through inability to deliver core services.				
Current Risk Matrix			Current Rating Description			Last Review Date	
			Current Impact	C	Current Likelihood	3	22 Jun 2010
				Medium		Likely	
Target Risk Matrix			Target Rating Description			SMT Lead	
			Target Impact	B	Target Likelihood	2	Julian Rudd
				Minor		Not Likely	
Risk Actions							
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
							Yorkshire Forward funding for the Project Delivery Manager is to be terminated in September 2010. This has implications for our capital projects such as Heart of Malton and the Rural Capitals Business Space. We will be reviewing this situation with CMT.
							The voluntary redundancy programme has resulted in two members of staff leaving the council. They covered the industrial letting and tourism services. This has resulted in a service review of the industrial letting service involving E&C, Asset management, finance, legal and transformation to determine the various options of how to undertake this service. In addition, The Commissioning Board is to review the tourism service, again to determine the most effective delivery mechanism.

**EC 02 Strategic Partnerships**

Risk Code	Risk Title	Description	Status
EC 02	Strategic Partnerships	Weaknesses within Terms of Reference/contracts/ management may result in the inability to manage strategic partnerships including Community Safety, YC&M Tourism Partnership, Rural & Community Transport	

**Consequences**  
 Unmanaged strategic partnerships (RSP, Safer Ryedale, M&CTP, Rural and Community Transport) could fail to produce maximised benefits of partnership working for Ryedale and lead to abortive working and or direction of funding and time to non-priority areas

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	B	Current Likelihood	18 Jun 2010
		Minor		


Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	B	Target Likelihood	Julian Rudd
		Minor		

**Risk Actions**

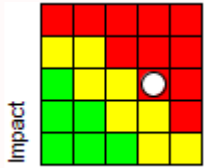
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
							<p>The Moors and Coast partnership has undergone significant change in the last 18 months - see committee report link below. We have taken advantage of the break clause in the Partnership Agreement to renegotiate the agreements and thereby reduce our risk in this investment.  <a href="http://democracy.ryedale.gov.uk/mgConvert2PDF.aspx?ID=3765">http://democracy.ryedale.gov.uk/mgConvert2PDF.aspx?ID=3765</a></p> <p>The restructure of Economy and Community services has created a dedicated Community Partnerships team to service the LSP, Community Safety and Rural Transport Partnerships. This ensures that the delivery</p>

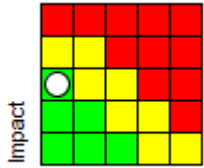
						<p>of activity is prioritised and the momentum of these partnerships is maximised.</p> <p>In April 2010, the LSP and Safer Ryedale partnerships merged - see committee report link below. This improved strategic management and involvement of key public sector organisations in the management of Ryedale, the place.</p> <p><a href="http://democracy.ryedale.gov.uk/mgConvert2PDF.aspx?ID=2245">http://democracy.ryedale.gov.uk/mgConvert2PDF.aspx?ID=2245</a></p>
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**EC 03 External funding**

Risk Code	Risk Title	Description	Status
EC 03	External funding	Unsuccessful bids may result in insufficient funding	

**Consequences**  
 Reduced level/quality of services resulting in financial losses No new initiatives/innovation resulting in threats to future sustainability of service areas


Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	4
		Medium		Very Likely

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	C	Target Likelihood	1
		Medium		Very Low

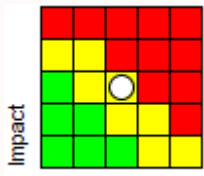
**Risk Actions**

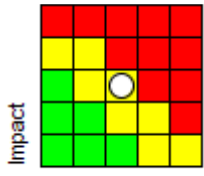
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
							Due to the current national fiscal pressures, the likelihood of this risk has increased recently. Yorkshire Forward have submitted £45 million in suggested cuts. Although the outcome of this is not yet known, cuts could affect us are Rural Access to Opportunities fund, Key Account Management and Welcome to Yorkshire funding. At risk is the Bio Refinery Project at FERA, and the Rural Renaissance Delegated Fund (for Town Team activity) and the NY Geographic Programme which could affect the Heart of Malton programme. see uploaded document for further details

**EC 04 External funding policy**

Risk Code	Risk Title	Description	Status
EC 04	External funding policy	Changes in government policy relating to economic development and employment resulting in the need for flexibility/adaptability within the unit.	

**Consequences** Inability to respond quickly and appropriately to maximise opportunities arising from changes in government policy.


Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C Medium	Current Likelihood Likely	3 19 Jun 2010

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	C Medium	Target Likelihood Likely	3 Julian Rudd

**Risk Actions**

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
							Economic and business staff within E&C unit are preparing 'oven ready' projects across a range of areas including regeneration, town teams, broad band technology, skills development to be ready for any funding eventuality (including the proposed new regeneration fund for Y&H, as announced in the recent budget, and the demise of Yorkshire Forward)

**EC 05 External contracts**

Risk Code	Risk Title	Description	Status
EC 05	External contracts	Uncontrollable material changes in the external environment influencing the contract.	

**Consequences** Loss of credibility amongst key funders and stakeholders. Financial penalties arising from breach of contract or failure to match expenditure with funding priorities. Failure to deliver service improvement.


Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	2
		Medium		Not Likely

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	C	Target Likelihood	1
		Medium		Very Low

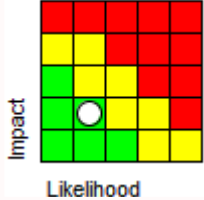
**Risk Actions**

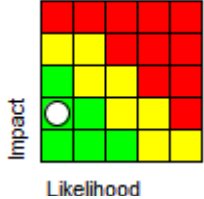
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
							Project management protocols followed for all contracted projects to ensure that this risk is reduced. However, with all projects there remains risks out with our control and the susceptibility to this risk is included within project management paperwork.

**EC 06 Industrial Units**

Risk Code	Risk Title	Description	Status
EC 06	Industrial Units	Inability to manage assets effectively and match available units to customer needs.	

**Consequences**  
 Loss of income Bad debtors resulting in increased management costs and lost income. Poor reputation affecting ability to attract good quality tenants. Inability to attract good tenants for units resulting in threats to financial viability of service.

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	B	Current Likelihood	2
		Minor		Not Likely

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	B	Target Likelihood	1
		Minor		Very Low

**Risk Actions**

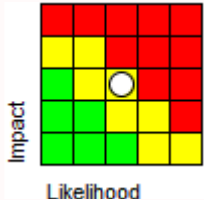
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
							Due to the departure of a long standing member of staff working in this area, a light touch industrial letting service review has been undertaken. See uploaded documents for further information on progress. This is due to conclude in July 2010

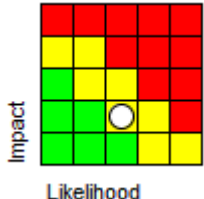


**EC 07 Local economy**

Risk Code	Risk Title	Description	Status
EC 07	Local economy	Local economic downturn influenced by global economic crisis and national recession	

**Consequences**  
Demand for services may be difficult to predict and respond to due to volatility within market and impact of rising unemployment levels, void business properties and business failures. Long-term damage to local economy.


Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	3
		Medium		Likely

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	B	Target Likelihood	3
		Minor		Likely

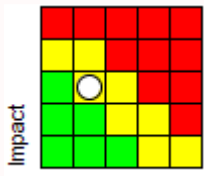
**Risk Actions**

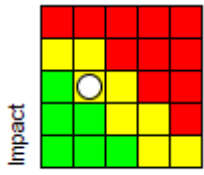
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
							<p>Despite the recession, Ryedale economy has not thus far been affected beyond expectations. We have not seen major company closures and there has been some inward investment in the area. Council agreed a £100K business grant to support local businesses move forward with plans to improve their business or create additional employment and this has been tremendously successful during 2008/9 (see uploaded documents.). We continue to horizon scan and through the Local Economic Assessment are working to ascertain where we can assist the private sector to develop further - moving into a high wage economy.</p> <p>In addition, the value and volume of tourism study (2008) demonstrated a buoyant industry perhaps due to the 'staycation' trend. (see uploaded documents.)</p>

**HS 01 Affordable Housing / Housing Need targets not met.**






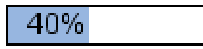
Risk Code	Risk Title	Description	Status
HS 01	Affordable Housing / Housing Need targets not met.	The Council target is to meet the housing needs of at least 75 households per year through the provision of additional affordable and specialist homes and adaptation of existing homes	








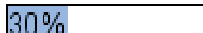
**Consequences**  
Lack of affordable and specialist new housing and adapted housing delivered against realistic target, despite the significant affordability gap in Ryedale and the extent of local housing need .


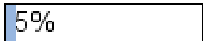




Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	2
		Medium		Not Likely




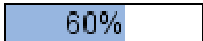

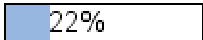


Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	C	Target Likelihood	2
		Medium		Not Likely

**Risk Actions**


Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP HS 0910 03a	Home Repair Grants & Loans	09-10 total budget £75K		31 Mar 2011	Julian Rudd	No further grants to be approved after 31 March 2010. Grants to be transferred to Home Repair Loans.
	SDP HS 0910 03b	Decent Home Loans	09-10 Total budget £100K		31 Mar 2010	Julian Rudd	Approved a total of 11 Decent Home Loans to a value of £55,668, and completed 3 Decent Home Loans to a value of £17,295.
	SDP HS 0910 03c	HMO Grants	Total budget for 2009/10 is £30k.		31 Mar 2011	Julian Rudd	Funding for 2009/10 and 2010/11 withdrawn. Expenditure to be from Regional Housing Board Funding.

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP HS 0910 03d	Empty Property Grants	09-10 RDC contributes £30k towards the annual total budget of £105K.		31 Mar 2011	Julian Rudd	Funding for 2009/10 and 2010/11 withdrawn. Expenditure to be from Regional Housing Board funding.
	SDP HS 0910 04a	Disabled Facilities Grants	09-10 Budget £317K		31 Mar 2010	Julian Rudd	Approved a total of 19 DFGs to a value of £166,910 and completed 27 grants totalling £257,123 from 1 April to 4 March 2010.
	SDP HS 0913 01	Enable Affordable & Specialist Housing	To enable the provision of affordable housing for rent and low cost ownership for sale		31 Mar 2013	Julian Rudd	The opening of the NYCC extra care facility in Norton in September 09 takes the number of affordable units delivered in 09/10 to 52 and this is expected to rise to 87 units by the end of this business year. A higher total for 10/11 is anticipated based on current projects.
	SDP HS 0913 01a	Exception Sites Land Purchase	Support the development of rural exception sites in Ryedale		31 Mar 2012	Julian Rudd	Nawton - start on site for 10 affordable homes. Pickering, Swainsea Lane site (adjacent to Askham Bryan) started. Thornton-le-Dale - need identified and site examination in progress. Rosedale, Hartoft - Local needs survey completed and site examination in progress. Aislaby, Middleton, Wrelton - reporting results of Local needs survey to Parish Council in March. Slingsby, Sherburn, Rillington, Barton-le-Street - discussions with Parish Councils in progress. Also now with Eberston, Kirby Misperton and Welburn (Malton)

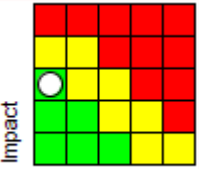
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP HS 0913 01b	Planning Gain			31 Mar 2013	Julian Rudd	Kirkbymoorside (Russells site) - Feb 2010 Outline planning permission granted for 46 homes of which 18 are affordable. Scagglethorpe - Planning application Approved Feb 2010 for 10 including 4 affordable homes. Norton - Scarborough Road - 3 discount for sale homes (Home HA), 15 Homebuy Direct homes (Redrow) for completion by March 2010. 16 further affordable homes expected after April 2010. Norton - Westfield Nursery - planning application submitted for 195 homes.
Page  34	SDP HS 0913 01c	Registered Social Landlord/Other Funded			31 Mar 2013	Julian Rudd	Pickering/Malton/Norton - proceeding with 10 homes (8 rented, 2 DFS) on various small sites. Rillington (Collinson's Lane) - 9 homes completed, all properties now let. Kirkbymoorside - Moorside nurseries - 19 rented homes due for completion March 2010. Norton (The Hawthorns site) - planning application for 22 homes Approved subject to conditions Feb 2010
	SDP HS 0913 01d	Review the Housing Strategy annually as part of the North Yorkshire Housing Strategy.			31 Mar 2013	Julian Rudd	-- enter new status update --Draft N Yorkshire Housing Strategy produced and work underway on local action plan to deliver affordable and specialist housing

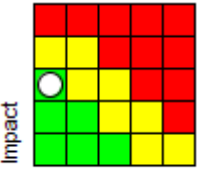
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP HS 0913 01e	Ensure provision in the Capital Programme to promote specific initiatives - Affordable Housing			31 Mar 2013	Julian Rudd	Between the 1 April 2009 and 4 March 2010 a total of 8 Home Repair Grants were approved to a value of £23,597 and a total of 12 grants were completed to a value of £32,758. In addition a further 11 Decent Home Loans, 3 Empty Property Grants and 14 Home Repair Loans have been approved in the same period to a value of £153,069 and an Empty Property Grant completed to a value of £15,000. The Council continues to seek to combat fuel poverty through the award of Energy Efficiency Grants. A total of 120 were awarded in 2008/9 to a value of £111,550 and a further 70 grants to a value of £70,124 have been awarded between 1 April and 4 March 2010. A significant number of households have been supported in making adaptations through the provision of a Disabled Facilities Grant that allows them to remain in their own homes. Between 1 April 2009 and 4 March 2010 there have been 19 new grants approved to a value of £166,910 and a further 27 grants completed to a value of £257,123.
	SDP HS 0913 01f	Support for HCA funding to Housing Associations and private sector to deliver affordable and specialist homes	work with RSLs and developers to use HCA and other funding sources to maximise delivery of affordable and specialist homes in Ryedale		31 Mar 2011	Julian Rudd	Working closely with Yorkshire Housing and other RSLs to maximise use of approved HCA funding for affordable homes in Ryedale by March 2011. Kickstart funding from the HCA was agreed in April 2010 to help fund 51 affordable units at Norton, including 15 through HomeBuy Direct.
	SDP HS 0913 03	Improve Private Housing Stock			31 Mar 2013	Julian Rudd	
	SDP HS 0913 03f	Develop a private sector renewals strategy			31 Mar 2011	Julian Rudd	work underway on a sub-regional private sector housing strategy to replace district strategies

**HS 02 Failure to prevent homelessness**


Risk Code	Risk Title	Description	Status
HS 02	Failure to prevent homelessness	Under the Housing Act 1996, local authorities have a duty to provide accommodation to people who are judged to be 'homeless' and have a 'priority need' for accommodation. Housing departments should consider the needs of applicants for housing and, as far as is possible, provide them with advice to prevent homelessness or, where applicable, provide 'suitable' accommodation.	











**Consequences** Mental and physical illness - adult and child poverty - reduced access to employment and education- additional costs to public services - social exclusion and vulnerability.

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	28 Jun 2010
		Medium		


Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	C	Target Likelihood	Julian Rudd
		Medium		

**Risk Actions**

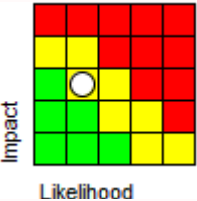
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP HS 0913 02	Prevent Homelessness	Development of services to meet the needs of homeless applicants and implementation of measures to prevent homelessness	<div style="border: 1px solid black; width: 80px; height: 20px; background-color: #4f81bd; color: white; display: flex; align-items: center; justify-content: center;">44%</div>	31 Mar 2013	Julian Rudd	

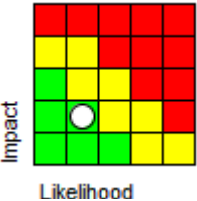
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP HS 0913 02a	Homelessness applications & acceptances			31 Mar 2013	Julian Rudd	504 initial housing enquiries from 1 April to 4 March 2010 41 homeless applications in the same period, of which 17 were accepted. 194 homeless preventions from 1 April to 4 March 2010
	SDP HS 0913 02b	Provision of a Mortgage rescue scheme in partnership	2009/2011 Budget of £200K		31 Mar 2011	Julian Rudd	6 cases currently being processed, 14 referrals received directly from lenders as at 4 March 2010
	SDP HS 0913 02c	Temporary Accommodation & Bridge House			31 Mar 2013	Julian Rudd	15 in temporary accommodation as at 4 March 2010 compared to 12 at the same time last year. Average length of stay in B&B as at 4 March 2010 was 2 weeks compared to 4 weeks in the same period last year. Average length of stay in other types of temporary accommodation as at 4 March 2010 was 19 weeks compared to 25 weeks in the same period last year.
	SDP HS 0913 02d	Homelessness - Projects & Initiatives			31 Mar 2013	Julian Rudd	54 referrals made to the scheme since its inception. 11 clients are currently on the Ryedale lettings Scheme, with an additional two families receiving just housing support through the scheme. 35 additional households have been assisted to access the private rented sector. A total of 26 Bond Guarantee Schemes/Bond Payments and Rent in Advance delivered in order to prevent homelessness. Between 1 April and 4 March 2010 arranged and delivered 91 positive activities through Bridge House, including snooker, paint balling, ice skating and decorating rooms. Completed 2 housing options drop-in sessions at the Children's Centre in Norton. Draft Sub-Regional Housing Strategy out for consultation - ends 19 March 2010. Instigated alcohol problem solving group, first meeting arranged for 22 March. We have provided 2 presentations to Homestart staff and volunteers regarding Housing Options. We have secured funding for Safe Moves project (prevention service for young people) for an additional 3 months. Since 1 April 2009 to 4 March 2010, 29 clients have been accommodated at Bridge House; 7 of them were aged 16/17. We have achieved 13 positive move ons in the same period.
	SDP HS 0913 02e	Homelessness Strategy Action Plan	To develop a joint homelessness action plan between RDC and the key Registered Social Landlords		31 Mar 2012	Julian Rudd	Working towards all targets in Action Plan.

**HS 03 Failure to improve private housing stock**


Risk Code	Risk Title	Description	Status
HS 03	Failure to improve private housing stock	Local authorities have important responsibilities for private sector homes and are required to periodically review housing conditions in their area for both owner occupier and privately rented properties. They are required to produce a housing strategy to deal with problems and this would typically include loan and grant aid for owner occupiers. Problems in the rented sector are dealt with through a combination of registration and accreditation schemes as well as enforcement action. Whilst the government expects the primary responsibility for repairing and improving homes to lie with the owner, it recognises that some groups, particularly the elderly and vulnerable, will not have the resources necessary for this. Authorities are directed to help these groups.	

**Consequences** unfit private housing stock - detrimental impacts on occupiers of unfit stock, including health and financial difficulties - poor alignment between local housing needs and local housing provision - increased energy costs and CO2 emissions


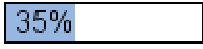

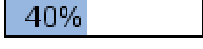





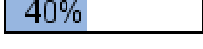



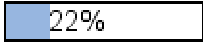
Current Risk Matrix		Current Rating Description			Last Review Date
Page 38		Current Impact	C	Current Likelihood	2
			Medium		Not Likely

Target Risk Matrix		Target Rating Description			SMT Lead	
		Target Impact	B	Target Likelihood	2	
			Minor		Not Likely	Julian Rudd

**Risk Actions**

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP HS 0910 03a	Home Repair Grants & Loans	09-10 total budget £75K	<div style="border: 1px solid black; width: 100px; height: 20px; background-color: #4F81BD; display: flex; align-items: center; justify-content: center;">50%</div>	31 Mar 2011	Julian Rudd	No further grants to be approved after 31 March 2010. Grants to be transferred to Home Repair Loans.



Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP HS 0910 03b	Decent Home Loans	09-10 Total budget £100K		31 Mar 2010	Julian Rudd	Approved a total of 11 Decent Home Loans to a value of £55,668, and completed 3 Decent Home Loans to a value of £17,295.
	SDP HS 0910 03c	HMO Grants	Total budget for 2009/10 is £30k.		31 Mar 2011	Julian Rudd	Funding for 2009/10 and 2010/11 withdrawn. Expenditure to be from Regional Housing Board Funding.
	SDP HS 0910 03d	Empty Property Grants	09-10 RDC contributes £30k towards the annual total budget of £105K.		31 Mar 2011	Julian Rudd	Funding for 2009/10 and 2010/11 withdrawn. Expenditure to be from Regional Housing Board funding.
	SDP HS 0910 04a	Disabled Facilities Grants	09-10 Budget £317K		31 Mar 2010	Julian Rudd	Approved a total of 19 DFGs to a value of £166,910 and completed 27 grants totalling £257,123 from 1 April to 4 March 2010.
	SDP HS 0910 05a	Private Sector Energy Efficiency Grants	09-10 Budget £100K		31 Mar 2013	Julian Rudd	Approved 112 Energy Efficiency Grants to a value of £83,164 and completed 70 grants totalling £70,124 in the period 1 April to 4 March 2010 (Note some of grants approved from 10/11 allocation)
Page 39 	SDP HS 0913 01e	Ensure provision in the Capital Programme to promote specific initiatives - Affordable Housing			31 Mar 2013	Julian Rudd	Between the 1 April 2009 and 4 March 2010 a total of 8 Home Repair Grants were approved to a value of £23,597 and a total of 12 grants were completed to a value of £32,758. In addition a further 11 Decent Home Loans, 3 Empty Property Grants and 14 Home Repair Loans have been approved in the same period to a value of £153,069 and an Empty Property Grant completed to a value of £15,000. The Council continues to seek to combat fuel poverty through the award of Energy Efficiency Grants. A total of 120 were awarded in 2008/9 to a value of £111,550 and a further 70 grants to a value of £70,124 have been awarded between 1 April and 4 March 2010. A significant number of households have been supported in making adaptations through the provision of a Disabled Facilities Grant that allows them to remain in their own homes. Between 1 April 2009 and 4 March 2010 there have been 19 new grants approved to a value of £166,910 and a further 27 grants completed to a value of £257,123.
	SDP HS 0913 03	Improve Private Housing Stock			31 Mar 2013	Julian Rudd	

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP HS 0913 03e	Empty Homes Strategy		<input type="text" value="0%"/>	31 Mar 2013	Julian Rudd	Local empty homes strategy for Ryedale being implemented whilst NY wide strategy developed.
	SDP HS 0913 03f	Develop a private sector renewals strategy		<input type="text" value="45%"/>	31 Mar 2011	Julian Rudd	Work underway on a sub-regional private sector housing strategy to replace district strategies
	SDP HS 1011 05a	Private Sector Energy Efficiency Grants	10-11 Budget £K	<input type="text" value="0%"/>	31 Mar 2011	Julian Rudd	

### HS 04 Failure to enable independent living








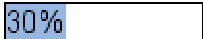
Risk Code	Risk Title	Description	Status
HS 04	Failure to enable independent living	The elderly, vulnerable and disabled can require support in order to live independently and so avoid institutional care or harm to personal health and well being.	

**Consequences** Significantly increased need for institutional care with associated public sector costs and loss of independence, or, vulnerable residents occupying unsuitable property with risks to personal health and well being.


Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	Current Likelihood		
	Medium	Not Likely	2	28 Jun 2010
Target Risk Matrix	Target Rating Description			SMT Lead
	Minor	Not Likely	2	Julian Rudd

### Risk Actions

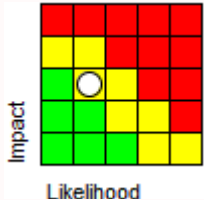
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP EH 0913 01b	Ryecare lifeline service development		<input type="text" value="100%"/>	31 Mar 2010	Julian Rudd	Delivered through contract with Selby DC

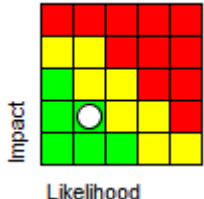
	SDP HS 0910 04a	Disabled Facilities Grants	09-10 Budget £317K		31 Mar 2010	Julian Rudd	Approved a total of 19 DFGs to a value of £166,910 and completed 27 grants totalling £257,123 from 1 April to 4 March 2010.
	SDP HS 0910 04b	Lifeline Service			31 Mar 2013	Julian Rudd	Secured a total of 140 new connections to the Ryecare Lifeline Service for the period 1 April to 4 March 2010.
	SDP HS 0913 01e	Ensure provision in the Capital Programme to promote specific initiatives - Affordable Housing			31 Mar 2013	Julian Rudd	Between the 1 April 2009 and 4 March 2010 a total of 8 Home Repair Grants were approved to a value of £23,597 and a total of 12 grants were completed to a value of £32,758. In addition a further 11 Decent Home Loans, 3 Empty Property Grants and 14 Home Repair Loans have been approved in the same period to a value of £153,069 and an Empty Property Grant completed to a value of £15,000. The Council continues to seek to combat fuel poverty through the award of Energy Efficiency Grants. A total of 120 were awarded in 2008/9 to a value of £111,550 and a further 70 grants to a value of £70,124 have been awarded between 1 April and 4 March 2010. A significant number of households have been supported in making adaptations through the provision of a Disabled Facilities Grant that allows them to remain in their own homes. Between 1 April 2009 and 4 March 2010 there have been 19 new grants approved to a value of £166,910 and a further 27 grants completed to a value of £257,123.
	SDP HS 0913 04	Enable Independent Living			31 Mar 2013	Julian Rudd	

**HS 05 failure to successfully review housing service**

Risk Code	Risk Title	Description	Status
HS 05	failure to successfully review housing service	As part of the One-11 programme a review is being undertaken of the housing service (along with several others) to establish improved and more efficient working practises and to save money.	










**Consequences** failure to improve performance and / or to achieve efficiencies

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	2
		Medium		Not Likely

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	B	Target Likelihood	2
		Minor		Not Likely

**Risk Actions**

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

Key			
Risk Status		Action Status	
	OK		Cancelled
	Warning		Overdue
	Alert		Check Progress
	Unknown		In Progress
			Completed

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**REPORT TO:** OVERVIEW AND SCRUTINY COMMITTEE

**DATE:** 8 JULY 2010

**REPORT OF THE:** CORPORATE DIRECTOR (s151)  
PAUL CRESSWELL

**TITLE OF REPORT:** ANNUAL INTERNAL AUDIT REPORT 2009/2010

**WARDS AFFECTED:** ALL

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

1.1 This report presents the Annual Internal Audit Report for 2009/10 from the North Yorkshire Audit Partnership for approval.

### **2.0 RECOMMENDATIONS**

2.1 It is recommended that the Annual Internal Audit Report for 2009/10 be approved.

### **3.0 REASON FOR RECOMMENDATIONS**

3.1 To monitor the performance of the provision of internal audit by the North Yorkshire Audit Partnership for Ryedale District Council and to provide the Head of Internal Audit's opinion on the Internal Control environment as part of the governance framework of the Council.

### **4.0 SIGNIFICANT RISKS**

4.1 No significant risks.

## **REPORT**

### **5.0 BACKGROUND AND INTRODUCTION**

5.1 The Accounts and Audit Regulations 2003 require all Councils to annually review their systems of internal control and to provide an adequate and effective Internal Audit function.

5.2 It was agreed that this committee should act as an Audit Committee for the Council and, inter alia, receive reports from Internal Audit

5.3 This report presents the Annual Internal Audit Report for the year from the North Yorkshire Audit Partnership. Their report, detailed in annex A, summarises the work

done by Internal Audit covering the year to 31st March 2010.

5.4 The Annual Internal Audit Report provides a statement of assurance to the Members, the Chief Executive, and the Corporate Director (s151), which will support the Annual Governance Statement (AGS) that has to be included with the Council's Financial Statements.

5.5 The Audit Partnership works to the 2006 CIPFA Code of Practice for Internal Audit in Local Government. The Council's External Auditors have been satisfied with the audit work undertaken, and have been able to place reliance on the work of the Partnership in order to optimise the overall cost of audit to the Council. The Partnership is subject to the regular tri-ennial review by the external auditors, due in 2010/2011.

## **6.0 POLICY CONTEXT**

6.1 This report supports the Council's Corporate Strategic Objective of providing strong Community Leadership, by demonstrating a commitment to local democracy and accountability

## **7.0 CONSULTATION**

7.1 A statement outlining any consultation carried out or planned and any known outcomes.

## **8.0 REPORT DETAILS**

8.1 The report detailed in annex A, provides an assurance statement for the financial systems of the Council, based on the work undertaken to date, and past experience. It is not a 'carte blanche' but a balanced judgement. It also includes an assessment of the application of risk management, and management of the identified risks, within its programme of audits.

8.2 One of the positive issues emerging is that the Council has made great strides with the establishment of Risk Management, especially 'embedding' it into the everyday operations of the Council. It is in this respect that we expect that internal audit will assist, by promulgating the understanding and implementation of risk management across the Council.

8.3 The North Yorkshire Audit Partnership is able to provide the Council with a clear statement of Internal Control Assurance, as all the main systems audited are operating robustly and securely. This supports the Annual Governance Statement required under the Accounts and Audit Regulations 2003.

8.4 It also includes a schedule of the audit opinions for the audits completed in the year. These opinions lead through to the overall opinion, and thence to the AGS. It also includes a synopsis of the performance of the Partnership in delivering internal audit to Ryedale DC.

8.5 The audit committee's role is also seen as an integral component by the CPA process, through the Key Lines of Enquiry that the Audit Commission follow as part of that CPA assessment process. The coalition government has determined to stop the CAA process, although it is anticipated that there will be a replacement.

8.6 The review provides an overall opinion and assurance that given all the



circumstances pertaining with the Internal Control System in Ryedale DC during 2008/09 that it is considered as working “above Standard”.

8.7 This is not a ‘carte blanche’ but a balanced judgement. As with any such review there will always be areas that could be improved and this is no different.

8.8 It is considered that the work completed combined with the planned work for 2010/11 represents the best compromise between economy and effectiveness, and provides a sufficient level of assurance for the AGS and the Council’s external auditors.

## **9.0 IMPLICATIONS**

9.1 The following implications have been identified:

a) Financial

There are no financial implications, beyond the existing budget for Internal Audit and any additional work in respect of Risk Management, and special investigations

b) Legal

None at present, though there is increasing pressure for regular reporting of Internal Audit work to Audit Committees (or equivalents).

c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)

None

**Paul Cresswell**  
**Corporate Director (s151)**

**Author:** James Ingham, Head of Audit Partnership  
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[James.Ingham@Scarborough.gov.uk](mailto:James.Ingham@Scarborough.gov.uk)

**Background Papers:**

None

**Background Papers are available for inspection at:**

N/A

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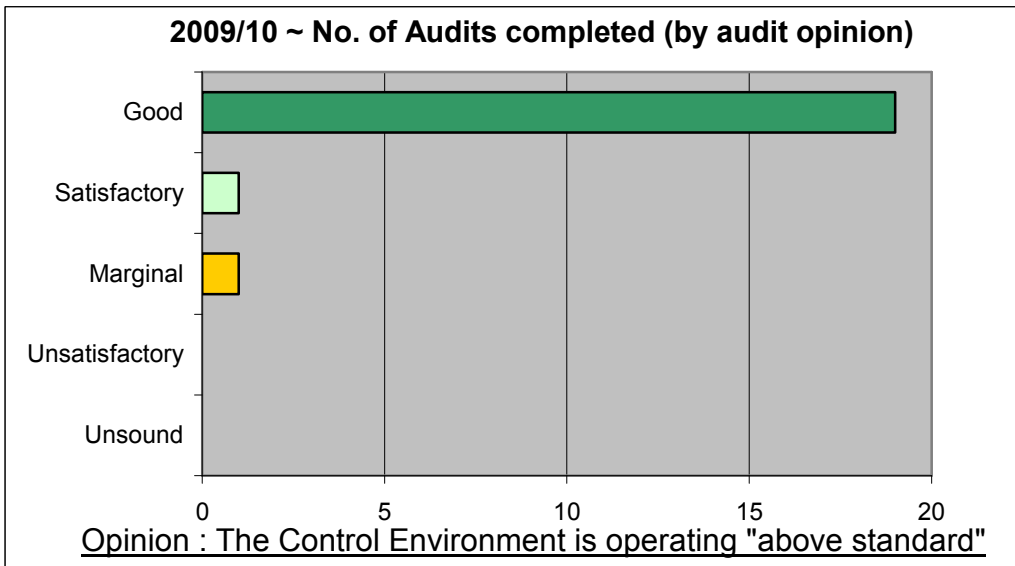


Independent Assurance

# Internal Audit Annual Report



## Ryedale DC June 2010



Head of Partnership: James Ingham CPFA  
 Audit Manager : Alison Newham BA(Hons)  
 Circulation list: Members Overview & Scrutiny Committee  
 Chief Executive  
 Corporate Director (s151)

## **Summary**

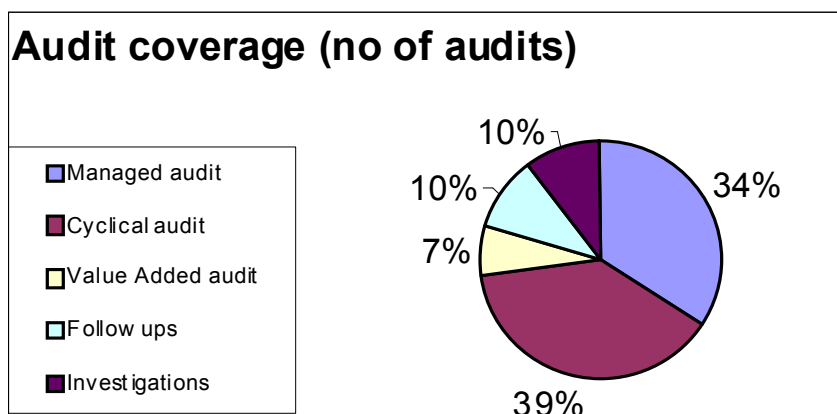
### **1.0 Introduction**

- 1.1 Internal Audit is a mandatory requirement for all councils, (Accounts & Audit regulations). The Council meets that requirement by an Internal Audit service provided through the North Yorkshire Audit Partnership.
- 1.2 The Partnership provides the service and works to the Cipfa Code of Practice for Internal Audit in Local Government. The council's external auditors undertake a tri-ennial review of the Partnership (next review due 2009/10), which adds to the Accounts & Audit regulation requirement that the council undertakes an annual review of the effectiveness of the system of Internal Audit. The results of both reviews are presented to the audit committee of the Council.
- 1.3 Internal audit providers in Local Government have an obligation to produce an Annual Internal Audit Report. This is an important document in many ways and brings together the following in one consolidated report.
  - ◆ A clear statement of assurance by the North Yorkshire Audit Partnership regarding the adequacy and effectiveness of the internal control environment.
  - ◆ The key issues and themes arising out of the internal audit activity that has been undertaken during 2009/2010, encompassing systems audit work and any specialist reviews.
  - ◆ A summary of our performance during the year, including details of:
    - The summary of the opinions for the audits completed
- 1.4 The Annual Report is, however, more than the sum of these parts; taken as a whole it is an important contribution to the Council reaching an understanding of what risks exist and how well they are being managed.

### **2.0 Planned Audit work 2008/09**

- 2.1 The agreed number of days in the plan for internal audit was 265. The plan itself was derived from the Partnership's risk model, devised to target resources to those areas that are considered to be of the greatest risk.
- 2.2 It is, however, tempered by a number of factors, the most significant of these being the expectation of the external auditors that internal audit undertake work on the material (significant) systems of the council on an annual basis. The volume of time required is largely constant, so the balance is used for locally directed and determined audit assignments.
- 2.3 The plan also includes a provision for specialist audit work including ICT audit, and work around the partnership governance area. Finally it also includes an amount of time to meet Client support requirements, including attending audit committee, and ad-hoc or special investigations.

2.4 The chart below shows the spread of audit assignments.



2.5 Appendix A shows the final table of planned audit work, and the audit opinion associated with the audits completed.

2.6 This section of the annual report focuses on measuring the performance of the North Yorkshire Audit Partnership specifically against the delivery of the internal audit service to Ryedale District Council. Appendix B provides a summary of the performance indicators as measured against accepted standards. It will be noted that some of the performance measures are subjective and can only be considered by the Council.

### 3.0 **Where did Internal Audit “add value” in 2009/10?**

3.1 In the current and anticipated future economic climate, all parts of the Council, whether internal units, contracted partners, or joint service arrangements will need to demonstrate that they are ‘adding value’ to the Council.

3.2 Whilst there is a statutory requirement for internal audit, the method used to comply with that basic premise is open to the Council to determine. Therefore it is vital that we identify that we have not only provided a ‘legally compliant’ service but can show where we consider that we have ‘added value’ through our work for Ryedale DC.

3.3 The dilemma is that, whilst there is no doubt that internal audit work provides an amount of added value, simply by its very presence, it can be somewhat problematical to determine and quantify ‘added value’ where the output is a positive internal audit report. However the assurance and added value is intrinsic in that if internal audit were not present, active and effective would there be areas of concern that the Council may not be aware of? In effect we add value by the work we do and through that the confirmation of an effective system of internal control which is assessed and reported to members and the wider public through the Annual Governance Statement.

3.4 We consider that we have added value in the year through the following: -

- ◆ Material Systems audit work; where our work provides a solid base for the external auditors in their review of these systems as part of their opinion work. This also improves External Audit liaison and this shared work if not done may lead to increased external audit fee. The work we do, therefore maintains, and may also be said to reduce, the external audit fee.
- ◆ Assurance from cyclical audit work adds value to the organisation by providing that continuing confidence that our work has not identified significant control failings. Where issues are identified these are discussed with relevant line management and recommendations are proposed and agreed with them for implementation. Through this dialogue we add value by enhancing the control environment and by providing the Committee where member responsibility for that exists through the regular briefings in our quarterly and annual IA reports on the control environment. .
- ◆ Our Follow up process which covers most of the audits adds value by providing assurance to line management, Corporate Directors, Heads of Service, and the Committee members that the agreed recommendations are being properly implemented. Through this process the overall Control Environment is continually upgraded.

- ◆ We have added value to the Overview & Scrutiny (Audit) Committee through our support and advice to it. We have assisted by suggesting and facilitating the attendance at Committee of managers to respond directly to members questions and concerns over the audit reports and the actions that managers are taking to implement agreed recommendations.
- ◆ We also add value through that part of our remit where we provide support to the Council's Risk Management process. This we achieve through reviewing and revising the Risk Management Strategy, and process. It should be noted that with the effective implementation, and imaginative use of Covalent our role has continues to diminish.
- ◆ We consider that we would add value to the developing and changing nature of the Council's activities through our presence and attendance at development group meetings as we are there to ensure that where there are proposed and new ways of delivering services that the control environment is not overlooked which could lead to the Council being exposed. Through our active participation in these groups we look to make the new ways of working secure and effective without imposing needless bureaucracy.
- ◆ We are also planning for 2010/2011 to provide bespoke training sessions to the staff, for Risk Management and FAT (Fraud Awareness Training).

#### **4.0 Matters of significance from the work completed in the year**

4.1 The areas that were especially pleasing to report are as follows:-

- 👍 We are pleased to report that Performance management is now largely embedded in the day to day routines of the Council, using Covalent. This is also now being used to further develop Risk Management. In addition, a Risk Register Action Plan Audit is scheduled for 2010/11 when the actions will be monitored from the registers and cross referenced to the relevant audits in the plan.
- 👍 We anticipate being able to use Covalent ourselves to drive improvements in the follow up process of agreed audit recommendations.

4.2 The only areas that generated concern were as follows: -

- 👎 We were included in the team reviewing the arrangements for the support of Community Leisure Ltd. The amount of financial support is significant and there are some concerns around the present arrangements, and particularly the future options that face the Council.
- 👎 Another cause for concern was the findings resulting from the Fixed Assets audit – whilst the accounting systems and controls were robust, the weaknesses identified lie with the property side, where there continues to be delay in getting an effective and efficient asset management register in place, although progress is now being made. The council, a number of years ago, invested in proprietary software which has not been used. This issue has also been in the Council's Annual Governance Statement for at least two years with only minimal progress with implementation of agreed actions.
- 👎 Controls could have been better with mobile telephony, but there was no evidence of either control failure or misuse. The Partnership will be following up areas of concern in 2010/11.
- 👎 There have been two material (in terms of IA time) special investigations during the year, one of which was centred on additional work to support the external audit review of poor budget monitoring in one specific area. Consequently and concurrently the Council's FPR (Financial Procedure Rules) are being reviewed and revised. The second was on a standards matter in a Parish Council, and was undertaken to support the Council's Monitoring Officer.

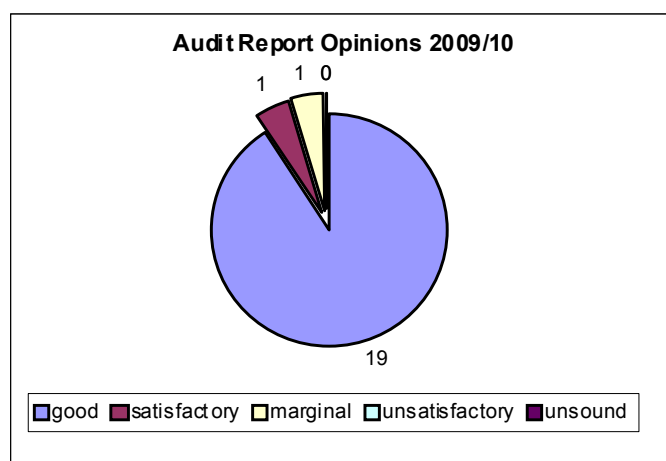
## 5.0 Audit Opinion and Assurance Statement

- 5.1 We have conducted our audits both in accordance with mandatory standards and good practice contained within the CIPFA Code of Practice for Internal Audit in Local Government.
- 5.2 The Cipfa Code defines Internal Audit as an assurance function providing an independent opinion on the Internal Control Environment, comprising Risk Management, Governance and Internal Control. Accordingly we have structured our opinion around those three themes.
- 5.3 For 2009/2010, the internal audit opinion is derived from work completed as part of the agreed internal audit plan, which includes compliance with the managed audit. This is work done as part of the joint protocol between the Council's internal and external auditors who themselves are required to give an opinion on the Council's accounts. It is accepted that Internal Audit has an established position of independence within the Council more especially with the specific arrangements that exist with the North Yorkshire Audit Partnership. It has experience in control and assurance matters generally.
- 5.4 On balance, based upon the audit work done, together with the pre-existing cumulative audit knowledge and experience of other areas not subject to audit this year our overall audit opinion is that the Internal Control Environment for the Council is operating "to standard".

5.5

The Assurance:	
Risk Management	The Council is has managed to embed Risk Management within the organisation through the effective implementation, and imaginative use of Covalent.
Governance	Our work this year leads us to the overall opinion that the Corporate Governance arrangements are sound.
Internal Control [financial systems, etc.]	<p>Our overall opinion is that the internal controls within the financial systems in operation throughout the year are fundamentally sound. (95% of audits completed had a 'good' or 'satisfactory' audit opinion.)</p> <p>This is based upon our examination of the key financial systems as part of the managed audit approach, and the other financial systems that were actually audited. On that basis and our previous experience and knowledge there is no reason to believe that the systems are other than sound.</p>

## Table of 2009/10 audit assignments completed



<b>Audit</b>	<b>Status</b>
<b><u>2009/10 ~ Material Systems (External Audit definition)</u></b>	
Council Tax	Work in Progress ~ completed Q1 2010/2011 ~ Good
Creditors + e-procure/purchase cards	Work in Progress ~ completed Q1 2010/2011 ~ Good
Debtors	Completed ~ Good
Income System	Completed ~ Good
NNDR	Work in Progress ~ completed Q1 2010/2011 ~ Good
G. Ledger + Bank Reconciliations	Completed ~ Good
Housing Benefits	Work in Progress ~ completed Q1 2010/2011 ~ Good
Payroll	Work in Progress ~ completed Q1 2010/2011 ~ Good
Treasury Mgt	Completed ~ Good
Asset Management (Capital Accounting)	Work in Progress ~ completed Q1 2010/2011 ~ Good
<b><u>2009/10 Audit plan work</u></b>	
<b><u>Head of Environmental Services</u></b>	
<i>Health &amp; Environment</i>	
Licensing Act(s)	Completed ~ Good
Markets	Completed ~ Good
<i>Street Scene Services</i>	
Trade Refuse	Completed ~ Good
<b><u>Head of Economy &amp; Housing</u></b>	
<i>Economic &amp; Community</i>	
Leisure Contract (C L Ltd)	Internal Audit ~ participation in CL Ltd review process
<i>Housing Services</i>	
Grants (Disabled access; etc)	Completed ~ Good



<b><u>Audit</u></b>	<b><u>Status</u></b>
<b><i>Head of Planning</i></b>	
<i>Forward Planning</i>	
Sustainability	Completed ~ Good
Local Plan	Deferred to 2010/2011
<b><i>Head of Transformation</i></b>	
Performance Indicators	Completed ~ Good
<b><i>Head of Resources</i></b>	
<i>Revenue &amp; Financial Services</i>	
Members Allowances	Completed ~ Good
Insurance	Completed ~ Good
Tax management	Completed ~ Good
<i>Facilities &amp; Emergency Planning Services</i>	
Industrial Units (rentals)	Completed ~ Good
<i>Customer Services &amp; Benefits</i>	
Telephones	Completed ~ Satisfactory
Risk Management Action Plans	Deferred to 2010/2011

## Ryedale District Council Internal Audit Performance measures

	Performance Measures	Partnership Performance 2009/2010
Cost	<ul style="list-style-type: none"> <li>Estimated cost of service compared with similar organisations, based on the number of days in the audit plan.</li> </ul>	<ul style="list-style-type: none"> <li>Partnership £ 62,275</li> <li>Family Group c.£ 72,875</li> <li>Private Sector c.£ 74,000</li> </ul>
Audit Coverage	<ul style="list-style-type: none"> <li>Actual audits completed compared with the plan.</li> <li>Productive or field work time as a percentage of total time</li> <li>Actual areas covered within the plan.</li> </ul>	<ul style="list-style-type: none"> <li>21 out of 23 audits planned were ultimately completed; 91%. (Revised 09/10 plan) plus follow up audits. (Some completed in Q1 2010/2011)</li> <li>100% non-productive time is borne by the Partnership.</li> <li>All necessary work completed; (any changes made to the original plan are agreed with the client ~ Corporate Director (s151)).</li> </ul>
Audit Plans	<ul style="list-style-type: none"> <li>Timeliness of preparation.</li> <li>Conformity with CIPFA Standards</li> <li>Usefulness to readers</li> </ul>	<ul style="list-style-type: none"> <li>Annual audit plan produced and approved in advance of new financial year.</li> <li>Complies with CIPFA standards and external audit requirements.</li> <li>Council to consider this aspect.</li> </ul>
Audit Reports	<ul style="list-style-type: none"> <li>Timeliness of preparation.</li> <li>Factual accuracy.</li> </ul>	<ul style="list-style-type: none"> <li>Draft reports to be issued within 15 days of completion of audit. (over 80% within target).</li> <li>Council responses to draft reports reflect high levels of factual accuracy achieved.</li> </ul>
Recommendations	<ul style="list-style-type: none"> <li>Comments by clients and management.</li> <li>Implementation of the Management Action Plan (MAP) by clients.</li> <li>Timeliness of follow up of implementation.</li> </ul>	<ul style="list-style-type: none"> <li>Council responses to reports normally very positive.</li> <li>Generally good implementation of the MAP by clients.</li> <li>Formal follow up process and regular reports to the Overview &amp; Scrutiny Committee.</li> </ul>
Relationships	<ul style="list-style-type: none"> <li>Senior management's opinion of Internal Audit provided by the Partnership.</li> <li>Relationship with the External Auditors.</li> </ul>	<ul style="list-style-type: none"> <li>This is reflected in the questionnaires used in the A&amp;A Reg 6 review of effectiveness.</li> <li>Relationship with the external auditors is good and audit work is co-ordinated to achieve optimum effectiveness for the Council.</li> </ul>
Reviews by other agencies	<ul style="list-style-type: none"> <li>Extent of External Auditor's reliance on Partnership work.</li> </ul>	<ul style="list-style-type: none"> <li>External auditor continue to place reliance on our work.</li> </ul>
Staffing and Training	<ul style="list-style-type: none"> <li>Continuity in staffing.</li> <li>Provision of appropriate training for staff.</li> <li>Use of staff with specialist skills; e.g. IT Audit</li> </ul>	<ul style="list-style-type: none"> <li>Head of Partnership for management,</li> <li>Local Audit Manager for Ryedale for service continuity, and local knowledge.</li> <li>Partnership has an established training policy and programme.</li> <li>Used as required or appropriate to Council's needs.</li> </ul>



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<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>8 JULY 2010</b>
<b>REPORT OF THE:</b>	<b>CORPORATE DIRECTOR (s151) PAUL CRESSWELL</b>
<b>TITLE OF REPORT:</b>	<b>ATTENDANCE AT POLICY COMMITTEES</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

- 1.1 To provide Members with a draft rota for attendance to observe at policy committee meetings and to agree guidance to assist this process.

### **2.0 RECOMMENDATION**

- 2.1 For Members to agree the draft rota for attendance and the accompanying checklist and for these to be incorporated within the Council's Scrutiny Handbook.

### **3.0 INTRODUCTION**

- 3.1 One of the four key legislative roles of the Committee is holding the Executive to account. In Ryedale's case this means examining the policy committees minutes, forward plans in detail and using call-in or other mechanisms to comment or intervene in the decision making process. In order to be effective in this it has been previously agreed that Members of the Committee would take turns to attend both the Policy and Resources Committee and the Community Services and Licensing Committee/Commissioning Board for the purposes of observation. Subsequently, Full Council agreed that this be an approved duty for Members of this Committee.

- 3.2 Attached at Annex A is a draft rota for Members consideration.

### **4.0 CONCLUSION**

- 4.1 Members have previously agreed a rota for attendance at policy committees. Guidance and an accompanying checklist have been produced to help Members with this important process.

**Paul Cresswell**  
**Corporate Director (s151)**

**Author:** Paul Cresswell, Corporate Director (s151)  
**Telephone No:** 01653 600666 ext: 214  
**E-Mail Address:** [paul.cresswell@ryedale.gov.uk](mailto:paul.cresswell@ryedale.gov.uk)

**Background Papers:**  
none

**Annex A: Overview and Scrutiny Rota for 'shadowing' policy committees**

<b>Commissioning Board</b>	<b>23 Sept</b>	<b>25 Nov</b>	<b>27 Jan</b>	<b>24 Mar</b>	<b>June2011</b>
Paul Andrews		X			X
John Clark		X			X
David Cussons			X		
Brian Cottam			X		
John Raper			X		
Elizabeth Shields	X			X	
Brian Maud	X			X	
Jane Wilford	X			X	
John Windress		X			X
<b>Policy &amp; Resources</b>	<b>30 Sept</b>	<b>9 Dec</b>	<b>10 Feb</b>	<b>7 April</b>	<b>June 2011</b>
Paul Andrews			X		
John Clark			X		
David Cussons	X			X	
Brian Cottam	X			X	
John Raper	X			X	
Elizabeth Shields		X			X
Brian Maud		X			X
Jane Wilford		X			X
John Windress			X		

The rota is based on three Members observing at each policy committee meeting. If you are unable to attend could you please try and obtain a substitute in the first instance. If you are unable to do so then please contact the Chairman, Councillor Mrs Shields.

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**REPORT TO:** OVERVIEW AND SCRUTINY COMMITTEE

**DATE:** 8 JULY 2010

**REPORT OF THE:** CUSTOMER SERVICES AND BENEFITS MANAGER  
ANGELA WOOD

**TITLE OF REPORT:** CUSTOMER COMPLAINTS RECEIVED QUARTER 4

**WARDS AFFECTED:** ALL

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## **1.0 PURPOSE OF REPORT**

1.1 To inform Members of the number and type of complaints received under the Council's complaint procedure for the period January – March 2010.

## **2.0 RECOMMENDATION**

2.1 It is recommended that members receive the quarter 4 report.

## **3.0 BACKGROUND AND INTRODUCTION**

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 January – March 2010 together with the action taken where appropriate (Annex B).

## **4.0 REPORT DETAILS**

4.1 The annexes of the report show the number of complaints received and the actions which have been taken.

**Angela Wood**  
**Customer Service and Benefits Manager**

**Author:** Angela Wood, Customer Services and Benefits Manager  
**Telephone No:** 01653 600666 ext: 220  
**E-Mail Address:** [angela.wood@ryedale.gov.uk](mailto:angela.wood@ryedale.gov.uk)

**Background Papers:**  
RDC Complaints Procedure

**Background Papers are available for inspection at:**  
[http://www.ryedale.gov.uk/council and democracy/corporate complaints.aspx](http://www.ryedale.gov.uk/council_and_democracy/corporate_complaints.aspx)



## SUMMARY OF COMPLAINTS LOG

PERIOD: JANUARY – MARCH 2010

SERVICE UNIT	SUMMARY OF COMPLAINT	NO SETTLED WITHIN DEADLINE	RESULTANT SERVICE IMPROVEMENTS / ACTION TAKEN
Customer Services & Benefits	<ol style="list-style-type: none"> <li>1. Dis satisfaction with incorrect information within letters.</li> <li>2. Dis satisfaction with unprofessional and inconsiderate staff.</li> <li>3. Request for complaints procedures.</li> <li>4. Dis satisfaction with benefit decision and timeliness of appeal.</li> </ol>	4	<ol style="list-style-type: none"> <li>1. Letter of apology sent to customer and fault on system addressed.</li> <li>2. Letter sent to customer outlining what action had taken on their benefit claim and that no fault on part of staff.</li> <li>3. Copy of complaints procedure sent to customer and offer to provide further assistance.</li> <li>4. Letter sent to customer outlining what action had been taken on benefit claim and an apology for length of time taken to process appeal. Appeal processed and customer notified of outcome.</li> </ol>
Democratic Services		0	

Development Services	<ol style="list-style-type: none"> <li>1. Dissatisfaction with Planning committee decision.</li> <li>2. Dissatisfaction with lack of communication regarding inquiry.</li> <li>3. Dissatisfaction with lack of communication regarding Inquiry.</li> <li>4. Dissatisfaction with attitude/behaviour of staff.</li> <li>5. Dissatisfaction with Planning application process.</li> </ol>	5	<ol style="list-style-type: none"> <li>1. Letter sent with including full details of Committee decision.</li> <li>2. Letter sent to customer explaining situation.</li> <li>3. Letter sent to customer explaining situation.</li> <li>4. Letter of apology sent to customer with advise on how to access a query online.</li> <li>5. Letter sent to customer informing them of planning process.</li> </ol>
Economic & Community		0	
Facilities & Emergency Planning		0	
Finance & Revenue Services	<ol style="list-style-type: none"> <li>1. Dissatisfaction with attitude of staff member.</li> <li>2. Dissatisfaction as letters received and envelopes not sealed.</li> </ol>	2	<ol style="list-style-type: none"> <li>1. Issue addressed with staff member and letter of apology sent to customer.</li> <li>2. Folding &amp; Inserting machine serviced and letter of apology sent to customer.</li> </ol>
Forward Planning		0	

Health & Environment	1. Dissatisfaction with maintenance at Ryedale pool.	1	1. Maintenance addressed and letter sent to customer advising of action taken.
Housing Services		0	
Human Resources		0	
ICT Services		0	
Legal		0	

Streetscene Services	<ol style="list-style-type: none"> <li>1. Dis satisfaction with excess charge when pay and display machine not working.</li> <li>2. Dis satisfaction with lack of waste collection during severe weather.</li> <li>3. Dis satisfaction with missed refuse collection, removal of extra bin and litter on A170.</li> <li>4. Dis satisfaction with repeated missed refuse collection.</li> <li>5. Dis satisfaction with parking of motorcycles and charges.</li> <li>6. Dis satisfaction with missed collection of extra bin on A170.</li> <li>7. Dis satisfaction with missed recycling collection.</li> <li>8. Dis satisfaction with missed waste collections.</li> <li>9. Dis satisfaction with litter in the Norton college area.</li> <li>10. Dis satisfaction with lack of recycling provision.</li> </ol>	10	<ol style="list-style-type: none"> <li>1. Letter sent to customer advising that information available to use other machines.</li> <li>2. Letter sent to customer explaining severe weather policy.</li> <li>3. Letter sent to customer explaining 2<sup>nd</sup> bin policy, action on street and cleaning schedules.</li> <li>4. Letter sent to customer on investigation into missing collections.</li> <li>5. Letter sent explaining charging policy.</li> <li>6. Acknowledgement letter sent and contact to be arranged to resolve issue.</li> <li>7. Letter of apology sent to customer explaining the impact and arrangements during severe weather conditions and arrangements made to collect recycling.</li> <li>8. Letter of apology sent to customer explaining the impact and arrangements during severe weather conditions and arrangements made to collect recycling.</li> <li>9. Letter of apology sent to customer detailing current action been taken.</li> <li>10. Letter of apology sent to customer detailing the recycling situation and charges for trade customers.</li> </ol>
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Transformation		0	
<b>TOTAL</b>		<b>22</b>	

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## DERWENT POOL – CUSTOMER FEEDBACK

<b>JANUARY TO MARCH 2010</b>	<b>very good</b>	<b>good</b>	<b>fair</b>	<b>poor</b>	<b>very poor</b>
Efficiency of the staff	3	2	0	0	0
Helpfulness of the staff	3	2	0	0	0
Courtesy of the staff	3	2	0	0	0
General cleanliness	2	1	2	0	0
Condition of the facilities	1	2	2	0	0
Condition of the equipment	2	3	0	0	0
Safety and security	1	2	0	1	0
Air temperature	2	1	1	0	1
Value for money	3	0	1	1	0
Overall experience	2	2	0	0	1
	22	17	6	2	2

January	Showers freezing! Not a pleasant experience with children (blowing cold air)	Unfortunately we have been experiencing problems with the air handling unit - this is now rectified.
	Air conditioning cooler in the gym.	Staff to look into this.
	The lady called Lynn has impeccable customer service skills. Nice toilets, very clean.	
February	Who decided to remove all public swim from Friday afternoon - 12 people swimming 12/2	The Friday afternoon timetable has not altered for a number of years now - public swim is from 12 to 1.15pm and 2.45 to 4pm
	discrimination against under 60's	
	Very well organised inflatable session	
	Antiseptic hand gel on entry to the gym?	Sanitising spray is available within the gym to wipe machines down before / after use
March	Please put a lane for length swimmers Sat & Sun first thing	Unfortunately lanes cause more problems than they solve. We do have a lane swim session on a Wednesday evening.

## LIFESTYLES – CUSTOMER COMMENTS FEEDABCK

<b>JANUARY TO MARCH 2010</b>	<b>very good</b>	<b>good</b>	<b>fair</b>	<b>poor</b>	<b>very poor</b>
Efficiency of the staff	2	1	0	0	0
Helpfulness of the staff	3	1	0	0	0
Courtesy of the staff	4	0	0	0	0
General cleanliness	0	2	2	0	0
Condition of the facilities	0	0	3	1	0
Condition of the equipment	0	1	2	1	0
Safety and security	0	2	1	0	0
Air Temperature	0	1	1	1	0
Value for money	2	2	0	0	0
Overall experience	1	2	1	0	0
	12	12	10	3	0

**Annex B**

March	Music - why R&B of whatever it is - I am no expert! Can't we have something with a bit more get up and go!! There are several offers (Jan & Feb) for new members - what about loyalty rewards or incentives for existing members?	Fitness staff are currently looking at various challenges aimed at new and existing members.
	I enjoy using the facilities	
	Long delay in repairing the equipment.	We apologise for this and thank you for bearing with us. We have now finalised everything and the repairs / maintenance are scheduled to take place during the start of April.

**RYEDALE POOL – CUSTOMER COMMENTS FEEDBACK**

<b>JANUARY TO MARCH 2010</b>	<b>very good</b>	<b>good</b>	<b>fair</b>	<b>poor</b>	<b>very poor</b>
Efficiency of the staff	11	1	0	1	0
Helpfulness of the staff	11	0	0	2	0
Courtesy of the staff	11	0	0	1	1
General cleanliness	8	2	3	0	0
Condition of the facilities	4	6	1	1	1
Condition of the equipment	5	7	0	1	0
Safety and security	7	2	3	0	0
Air temperature	8	2	1	1	1
Value for money	10	1	1	0	0
Overall experience	8	3	2	0	0
	83	24	11	7	3

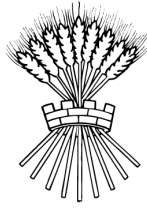
January	Repair hairdryers - none of the 3 now function normally, at least one of them has been u/s since September.	The problems with the hairdryers have been reported to RDC. A copy of your comments have been to them and we will continue to report the defects until they are repaired.
	Please can you mend at least one hairdryer, thank you.	
	9pm on a very cold night and not a single hair dryer working, several have not been working since November 09	
	Please fix the hair dryers.	
	Please, please will you mend the hairdryers we need them, thank you.	
	Showers, hairdryers, locks on doors	
	Hairdryers broken	
	Lovely clean pool, staff impeccable manners and helpful - will be back	



## Annex B

	Super visit - helpful staff	
February	Fix hairdryers, staff need to cheer up and be polite	We are seeking to get the hairdryers repaired as soon as possible and staff will be reminded of good customer care during staff training
	Please can you put a lane in the adult session	We do have a lane swim session on a Friday evening, 8 to 9pm.
	Could we have hand dryers high up on the wall for hair dryers	We are looking at repairing / replacing the hairdryers as soon as we can
	I just want to comment on standard of instructor for my daughters swim lesson - excellent, she has learnt more today than for many previous weeks. Too hot on balcony though.	
March	We came for our daughter to use a snorkel after seeing the picture in the timetable - to find it is against policy	Unfortunately, for health and safety reasons snorkels and not allowed to be used during a public session. We run specific snorkelling courses during the holidays
	Ryedale Pool staff - ten out of ten	
	Beautiful pool, staff nothing but helpful, excellent manners and made visit a lot more relaxed. Will be back, kids had a fab time 10 / 10 - thank you!	
	Staff on today had immaculate manners and helped me with my small daughter. Without their help I would have struggled. 1 male and 1 female - please let them know how grateful I am.	
	Get rid of fizzy pop and sweet machines. Advertise your assets more - fab pool with great potential, needs promoting.	
	Providing baby changing mats, provide play pen. Some staff almost ignored my friends when temp of pool was commented on.	Unfortunately we had a problem on this day and had to top up the pool with an amount of cold water, thus affecting the water temp.

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**REPORT TO:** OVERVIEW AND SCRUTINY COMMITTEE

**DATE:** 8 JULY 2010

**REPORTING OFFICER:** HEAD OF ORGANISATIONAL DEVELOPMENT  
LOUISE SANDALL

**SUBJECT:** SICKNESS ABSENCE – STATISTICS

**WARDS AFFECTED:** ALL

## 1.0 PURPOSE OF REPORT

1.1 To provide an update to the Overview and Scrutiny Committee in relation to sickness absence monitoring against the BVPI 12.

## 2.0 RECOMMENDATION

2.1 To consider the Council's position in comparison to previous years.

## 3.0 INTRODUCTION

3.1 The Council continues to use the form best value performance indicator (BVPI) 12 criteria for calculating sickness absence rate as this provides a consistent record of analysis. BV12 is the calculation of average number of days per full time equivalent (FTE) employee.

3.2 The statistics indicate for the 12-month period from 01/04/09 to 31/03/10 the average full-time equivalent number of days sickness absence, per employee, at Ryedale District Council is 8.89 days. This is a significant decrease from the previous figure reported of 10.68 days for the period 01/04/08 to 31/03/09.

3.3 8.89 days is the lowest rate since 2005/6. The table below gives Ryedale District Council results since 2005.

	<b>2005/06</b>	<b>2006/07</b>	<b>2007/08</b>	<b>2008/2009</b>	<b>2009/2010</b>
<b>Ryedale</b>	<b>6.68</b>	<b>11.88</b>	<b>8.99</b>	<b>10.68</b>	<b>8.89</b>

3.4 National context, 'the average worker took 6.4 days off sick in 2009, the lowest since 1987. The main reason for the improvement was progress in the public sector, where absence went from 9 days in 2007 to 8.3 days in 2009. The average in the private sector is 5.8 days'. CBI absence report 2010.

3.5 In regards to comparing locally the table below gives the BVPI results for the 6 other local authorities in North Yorkshire. From this you can see last year Ryedale had the

highest number of days sickness absence. This year Ryedale has improved on this and is now the 5th highest out of the 7 local authorities in North Yorkshire.

BVPI 12 table of all North Yorkshire Local Authorities results since 2005

	<b>2005/06</b>	<b>2006/07</b>	<b>2007/08</b>	<b>2008/2009</b>	<b>2009/2010</b>
Craven	10.35	11.95	12.52	9.08	12.61
Hambleton	7.62	6.71	7.25	9.94	8.31
Harrogate	9.00	8.59	8.45	6.8	7.24
Richmondshire	7.31	8.42	8.73	10.53	9.88
<b>Ryedale</b>	<b>6.68</b>	<b>11.88</b>	<b>8.99</b>	<b>10.68</b>	<b>8.89</b>
Scarborough	9.93	10.26	9.12	9.37	7.66
Selby	10.51	8.74	8.90	8.31	6.25
<b>Rank out of 7</b>	<b>1st</b>	<b>6th</b>	<b>5th</b>	<b>7th</b>	<b>5th</b>

#### 4.0 CONCLUSION

- 4.1 Members will note that this years statistics have shown an improvement in the authorities sickness absence level.
- 4.2 Members are reminded that a presentation from Selby District Council about Attendance Management will be on Wednesday 21 July at 6.30pm.
- 4.3 It is expected that the sickness absence review will be completed at the 19 August 2010 meeting of this committee.

#### Background Papers:

None

#### OFFICER CONTACT:

Please contact Louise Sandall, Head of Organisational Development if you require any further information on the contents of this report. The officer can be contacted at Ryedale House on 01653 600666 ext 350 or e-mail at [louise.sandall@ryedale.gov.uk](mailto:louise.sandall@ryedale.gov.uk)

## Commissioning Board

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Held at Council Chamber, Ryedale House, Malton  
on Thursday 3 June 2010

## Present

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Councillors Mrs Arnold, Mrs Cowan, Mrs Cowling, Mrs De Wend Fenton, Mrs Frank, Hemesley OBE, Hope, Spencer and Ms Warriner MBE

## In Attendance

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Fiona Brown, Jos Holmes, Marie-Ann Jackson, Nicki Lishman, Phil Long, Steve Richmond and Julian Rudd

## Minutes

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### PART ONE

1 **Emergency Evacuation Procedure**

2 **Apologies for Absence**

Apologies for absence were received from Councillor Mrs Keal.

3 **Minutes of Meeting of the Community Services Committee held on the 25 March 2010**

The minutes of a meeting of the Community Services Committee held on 25 March 2010 were submitted.

**Resolved**

That the minutes of the Community Services Committee held on 25 March 2010 be approved and signed by the Chairman as a correct record.

4 **Declarations of Interest**

In accordance with the Member's Code of Conduct Councillor Hemesley declared a personal interest in Item 11 as an owner of working dogs.

Councillor Mrs Arnold declared a personal and prejudicial interest in Item 10 as a Member of the Board of the Moors and Coast Tourism Partnership.

5 **Urgent Business**

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

## 6 **Welcome and Introduction by Chairman**

The Chairman welcomed Councillor Spencer, the new Member for Norton West ward, to the Committee.

The Chairman explained that the Commissioning Board was a new type of Committee for the Council. Members were advised that this was a change for the Council, for both Members and Officers, and welcomed the opportunity to learn together.

The Chairman asked Members of the Board to give consideration to starting future meetings at 6.00 p.m. or earlier if possible. The matter would be brought to a future meeting of the Board.

The Chairman outlined the business that the Board would consider and determine at the meeting and outlined approximate timings for each item. Members were advised that the whole meeting should be approximately 2 hours in total.

## 7 **Presentation by Seamus Breen, Assistant Director, Commissioning and Partnerships, NYCC**

The Chairman introduced Mr S Breen, Assistant Director, Commissioning and Partnerships, North Yorkshire County Council and Mr M Hunt, Locality Commissioning Manager for Ryedale and Scarborough, North Yorkshire County Council.

Mr Breen congratulated the Council on taking such a unique step in introducing a Commissioning Board and assured the Board of his support and looked forward to working with the Board in the future.

He gave several examples of how the Board may work including looking at Locality Commissioning which examines what we do here and now; and Strategic Commissioning which looks to meeting future service needs and requirements.

For example, Commissioning would look at the best use of budgets; Place Shaping, which looks at understanding the needs of our communities and new, creative solutions to existing methods of working which may be identified by working closely with our communities and partners.

It was explained that Board agendas would be presented in three parts: Part One would include items not for determination such as presentations and

progress or situation reports; Part Two would include all the items for determination by the Board including any approvals to proceed required by project teams – this section could include both “A” and “B” items and Part Three would be for any decisions which need Council approval from the terms of reference of the former Community Services Committee – this section could also include both “A” and “B” items.

Members asked whether consideration of the Total Place initiative, which looks at how a ‘whole area’ approach to public services can lead to better services at less cost, could be brought to a future meeting of the Board.

## **PART TWO - "A" items dealt with under delegated powers or matters determined by the Board**

### **8 Board Structure - Options**

The Corporate Director submitted a report the purpose of which was to seek approval for the establishment of “working parties” and to appoint Members to the working parties of the Commissioning Board.

Members agreed to establish the Commissioning Board as the second policy committee of the Council. It has the responsibility for the range of services that contribute to the delivery of the Council’s priority aims 1 - 4. This is a wide brief and as such it was suggested that Members of the Board took the opportunity to appoint smaller “working parties” to manage the business as afforded to the standing committees in the constitution. It was also explained that Working Parties do not require political proportionality and may draw from all parts of the Council, the community and partners as required.

It is the Board’s decision as to the number, scope and make up of these working parties. In considering options for the structure and in making recommendations, Officers sought to balance the most effective means of delivering outcomes and the capacity of the Council’s support services to manage additional meetings.

It was suggested that in the first instance two “working parties” be appointed by the Board as Joint Commissioning Groups (JCGs): Economy & Housing Joint Commissioning Group and the Active and Environment Joint Commissioning Group.

The Corporate Director explained that the JCGs would work with partners and other stakeholders, with the ability to co-opt non-voting Members from both within the Council and externally, to consider matters which contributed to the priority aims 1 - 4 and may take recommendations to the Board for decision.

The terms of reference for the JCGs to include performance management; evaluation of the effectiveness of service delivery; community involvement and consultation; needs appraisals; and making recommendations to the Board regarding future investment opportunities.

All Members would be notified of any meeting, presentation, visit or other factfinding event undertaken by the Working Parties.

**Resolved**

- i. That two Joint Commissioning Groups: Economy and Housing and Active and Environment” be established.
- ii. That the following Members be appointed to the Joint Commissioning Groups for 2010/2011.

Economy and Housing

Councillors Mrs Arnold, Mrs Cowan, Mrs Cowling, Mrs De Wend Fenton, Mrs Keal and Ms Warriner.

Active and Environment

Councillors Mrs Arnold, Mrs Cowling, Frank, Hemesley, Hope, and Spencer.

9 **Ryedale: Needs Assessment - Presentation by Julian Rudd, Head of Economy & Housing**

The Head of Economy and Housing gave a presentation of a Needs Assessment for the Ryedale District.

Members were issued with a document, which gave a variety of demographic, economic social and health information about the district. Members were advised that this information would serve as a core set of data on the profile of the district and would used as the basis for informing the consideration of matters brought before future meetings of the Board.

Officers were congratulated on the quality of the document.

10 **Moors and Coast Tourism Partnership**

The Head of Economy and Housing submitted a report, which sought Members approval to support the Moors & Coast Tourism Partnership (MCTP) for a maximum of one further year; the 2010/11 Draft Business Plan and the Council’s financial contribution for the remaining term of the agreement.

Members approved the transfer of this Authority’s tourism budget and secondment of officers to the MCTP for the period 2008–13 in January 2008.



(CS minute 418 refers). This was subject to a break clause to allow for a review in 2009/10 when the existing Partnership Agreement terminated.

During this period, the tourism situation has changed at a fast pace. The funding situation has changed, with the regional tourism organisation 'Welcome to Yorkshire' (W2Y) now being the conduit of funding from Yorkshire Forward. Funding is now to be 'bid for' on a project by project basis, around the six W2Y themes:

- Domestic and Leisure Group Travel
- Branding and international leisure and business tourism
- Innovation, research and intelligence
- Engagement and skills
- Product development
- Network operations.

The Tourism Association North Yorkshire (the association for Ryedale tourism businesses) is embarking on the production of their own, independent holiday guide / brochure. There are some risks inherent in this process as it is a new activity for the Association and they do not have a track record in this respect. These will be mitigated by asking the MCTP to provide substantial support and a 'guarantee against loss' in the first year of the activity. This will ensure that a quality brochure is produced.

Some businesses in southern Ryedale suggested that the primary focus of the MCTP is central and northern Ryedale. To address these concerns the Council's local tourism initiative budget will be used to fund projects in the Wolds and around Malton. This issue will be addressed as part of the planned service review to be conducted by the Active and Economy Joint Commissioning Group. The review will be conducted using the strategic commissioning model and as such will be the Board's first commissioned project.

It was proposed that Ryedale District Council made a cash contribution of £44,827 for 2010/11. This contribution was at the same level as in previous years minus the previously agreed 3% efficiency saving.

It was also proposed to continue any existing staff secondments for a maximum of a further year as an in-kind contribution.

The Council retains a budget of £5,000 for local tourism initiatives to be developed with Ryedale businesses. In 2010/11 it was anticipated that this funding would be applied to working further with the Business in Action Group and contribute to a Wolds tourism project developed jointly with the Hull and East Riding Tourism Partnership.

It was moved by the Chairman and seconded by Councillor Ms Warriner that the recommendations in the report be approved.

## Resolved

- (i) That support is given to the Moors & Coast Tourism Partnership (MCTP) during 2010/11 through a financial contribution of £44,827 and the secondment of the Tourism Assistant until 31 March 2011, subject to:
  - receipt of quarterly performance management information that demonstrates acceptable performance;
  - MCTP support for the production of the Tourism Association North Yorkshire (TANY) 2011 accommodation brochure, including a 'guarantee against loss' facility; and
- (ii) That a review of the commissioning of support to tourism is undertaken and recommendations made for 2011/12 and beyond.

**NB** In accordance with the Members Code of Conduct, Councillor Mrs Arnold declared a personal and prejudicial interest in the item as a Member of the Board of the Moors and Coast Tourism Partnership and left the room during consideration of the item.

## **PART THREE - "A" items dealt with under delegated powers or matters determined by the Board**

### 11 **Fixed Penalty Notices**

The Head of Environment submitted a report recommending that members approve the adoption of fixed penalty notices for dog fouling and the delegation of authorisations to the Head of Environment.

A request had been received through the Safer Ryedale Partnership for the Police Community Support Officers (PCSOs) to be authorised to issue Fixed Penalty Notices for low-level environmental crimes such as littering and dog fouling.

Investigations into the legalities revealed that although the power to issue such notices for litter and a range of other matters have been authorised by the Council under the provisions of the Clean Neighbourhoods and Environment Act 2005 (Community Services and Licensing Committee 8 June 2006), the powers under the Dog Fouling of Land Act had not.

The Dogs Fouling of Land Act 1996 states that if a dog defecates at any time on designated land and a person who is in charge of the dog at that time fails to remove the dog faeces from the land forthwith, that person shall be guilty of an offence unless they have a reasonable excuse for failing to do so or the owner or occupier of the land has consented to their failure to do so. A person

who is guilty of an offence shall be liable on summary conviction to a fine not exceeding £1000. The Act also allows the option of an authorised officer to give the offender a notice offering them the opportunity of discharging any liability to conviction for that offence by payment of a fixed penalty. The current level of the fixed penalty is £50.

At the time of adoption of the Dogs Fouling of Land Act 1996 (Environment, Health and Housing Committee 2/10/97), the matter of enforcement by the discretionary use of Fixed Penalty Notices and the authorisation of officers who were not employees of the Council was not taken up. Following consultation with the Council Solicitor, it was recommended that for the avoidance of doubt, the Boards authorisation should be sought for both the adoption of fixed penalties and the power of delegation.

Following consideration of the report it was moved by the Chairman and seconded by Councillor Ms Warriner that the recommendations contained in the report be approved.

#### **Resolved**

- (i) That Fixed Penalty Notices under the provisions of the Dog Fouling of Land Act 1996 be adopted.
- (ii) The Head of Environment be delegated to authorise officers for this purpose and authorise any person by whom, in pursuance of arrangements made with the authority, any functions in relation to the enforcement of the Dog Fouling of Land Act 1996 or the Clean Neighbourhoods and Environment Act 2005, fall to be discharged or any employee of any such person

#### **12 Any other business that the Chairman decides is urgent.**

There were no items of urgent business.

**The meeting closed at 9.00 p.m.**

#### **13 Date of Next Meeting**

Commissioning Training at 5.30pm on Monday 14 June 2010.

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## **FOR THE ATTENTION OF OVERVIEW & SCRUTINY COMMITTEE**

### **Decisions of Policy & Resources Committee held on 24 June 2010**

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**1. Apologies for Absence**

Councillors Arnold and Legard

Substitute - Councillors Mrs Cowling (for Cllr Arnold) and Hope (for (Legard)

**2. Minutes of an Ordinary Meeting of the Policy & Resources Committee held on 1 April 2010**

Minutes agreed.

**3. Urgent Business**

There were no items of urgent business.

**4. Declarations of Interest**

Councillor Mrs Burr declared a personal interest in Item 13 Wentworth Street Car Park, Malton as she owns properties in Malton and Item 15 Pickering Flood Storage Proposals as she owns properties in Pickering that have been flooded in the past.

Councillor Mrs Cowling declared a personal interest Item 15 Pickering Flood Storage Proposals as she owns properties in Pickering that have been flooded in the past.

Councillor Knaggs declared a personal interest in Item 13 Wentworth Street Car Park and Item 15 Pickering Flood Storage Proposals as he has had discussions with people and organisations regarding these matters.

**5. Minutes of Meetings of the Resources Working Party held on 8 June 2010**

Minutes agreed.

## **PART 'A' ITEMS - MATTERS TO BE DEALT WITH UNDER DELEGATED POWERS OR MATTERS DETERMINED BY COMMITTEE**

**7. Appointment of Working Parties/Sub-Committees**

**a) Senior Management Contracts Working Party**

Recommendations agreed

**b) Resources Working Party**

It was agreed that Councillor Legard was to stand down from the Resources Working Party and be replaced with Councillor Hope.

Members also agreed that any Councillor unable to attend a meeting of the working party may be replaced with a substitute from the same political party and any such substitutions be notified the day before the date of the meeting.

After consulting with the Council Solicitor regarding the political balance of the Working Party, it was agreed that Councillor Woodward be appointed to the Working Party.

Recommendations agreed.

**c) Constitution Review Working Party**

Recommendations agreed.

**d) Sub-Committee Appeals Panel**

Recommendations agreed

**8. Annual Statement of Accounts and Annual Governance Statement**

Recommendations agreed.

**9. Draft Oswaldkirk Conservation Area Assessment and Management Plan Supplementary Planning**

Recommendation approved.

**10. ICT Printer Rationalisation**

Recommendations approved.

**11. ICT Programme Approvals**

Recommendations approved.

**PART "B" ITEMS - MATTERS REFERRED TO COUNCIL**

**12. Wentworth Street Car Park, Malton**

An amendment, moved by Councillor Knaggs and seconded by Councillor Mrs Cowling to delete the word car in paragraph 9.19 was, upon being put to the vote, carried.

It was moved by Councillor Knaggs and seconded by Councillor Mrs Cowling to amend the recommendation 2.1 (i) (c) that

“ with the following amendment in paragraph 9.19 under “Criteria” bullet point two, delete the word car and add after the word parking “and on the objectives of the emerging LDF.”

Section 9.19 Bullet point two will now read;

“Development proposals: what is the nature of the proposal and how likely is it to get planning permission? This will also involve a consideration of the effect of the bidder’s scheme on the provision of parking and on the objectives of the emerging LDF.”

Upon being put to the vote the amendment was carried.

The substantive motion, as now agreed, was upon being put to the vote, carried.

**13. Changes to the Constitution – Contract Procedure Rules**

Recommendation approved.

**14. Pickering Flood Storage Proposals**

Recommendation agreed.

**EXEMPT PART “A” ITEMS – MATTERS TO BE DEALT WITH UNDER DELEGATED POWERS OR MATTERS DETERMINED BY COMMITTEE**

**15. Vivis Lane Realignment – Position Statement**

The report was noted

**16. Application for Hardship Relief**

The application was refused.

**17 Any other business that the Chairman decides is urgent**

The Corporate Director (Section 151) reminded Members that the Government had announced that funding for free swimming for the over 60’s was to end on 31 July 2010.

The Council had resolved to fund this programme for the years 2009/10 and 2010/11.

In the circumstances, a report considering the provision of free swimming for the over 60’s was to be brought to Full Council on 29 July 2010.

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