



OVERVIEW AND SCRUTINY COMMITTEE

Thursday 19 August 2010 at 6.30 pm

Member's Lounge - Ryedale House, Malton, North Yorkshire YO17 7HH

Agenda

- 1 **Apologies for absence**
- 2 **Minutes of the meeting of 8 July 2010** (Pages 1 - 8)
- 3 **Urgent Business**
To receive notice of any urgent business which the Chairman considers should be dealt with at the meeting as a matter of urgency by virtue of Section 100B(4)(b) of the Local Government Act 1972.
- 4 **Declarations of Interest**
Members to indicate whether they will be declaring any interests under the Code of Conduct.

Members making a declaration of interest at a meeting of a Committee or Council are required to disclose the existence and nature of that interest. This requirement is not discharged by merely declaring a personal interest without further explanation.
- 5 **Ombudsman Annual Report** (Pages 9 - 26)
- 6 **Service Risk Register - Environment** (Pages 27 - 58)
- 7 **Sickness Absence Review - Concluding report** (Pages 59 - 64)
- 8 **Future Reviews Scoping Report** (Pages 65 - 70)

- 9 **Customer Complaints Monitoring** (Pages 71 - 80)
- 10 **Treasury Management Annual Report 2009/10** (Pages 81 - 86)
- 11 **Any other business that the Chairman decides is urgent.**

Overview and Scrutiny Committee

Held at Members' Lounge, Ryedale House, Malton
on Thursday 8 July 2010

Present

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

In Attendance

Audrey Adnitt, Paul Cresswell, Jos Holmes, James Ingham, Alison Newham, Kim Robertshaw, Julian Rudd and Clare Slater
Mr Ritchie (Deloittes)

Minutes

8 Apologies for absence

Apologies were received from Councillors Maud and Mrs Wilford.

9 Minutes of the Meeting of 21 June 2010

The minutes of the meeting of the Overview and Scrutiny Committee held on the 21 June 2010 were presented.

Resolved

That the minutes of the meeting of the Overview and Scrutiny Committee held on the 21 June 2010 be accepted as a correct record.

10 Urgent Business

The Chairman reported that there were no items of urgent business to be dealt with at the meeting as a matter of urgency by virtue of Section 100(B)(4)(b).

11 Declarations of Interest

In accordance with the Member's code of conduct the following declarations of interest were received.

Councillor Andrews declared a personal interest in matters relating to Wentworth Street Car Park, as he regularly met with members of the local business community.

Councillor Cottam declared a personal interest in matters relating to Yorkshire Housing as he was Chairman of the Board of Yorkshire Housing.

Councillor Mrs Shields declared a personal interest in matters relating to Yorkshire Housing as she was a Member of the Board of Yorkshire Housing.

12 **Police Authority Training Arrangements**

The Corporate Director (s151) provided an update on an invitation which had been received from the Police Authority, for Members of the Overview & Scrutiny Committee to attend a training session regarding the committee's new function to "Scrutinise Law and Order". This training opportunity had also been extended to neighbouring local authorities over the past few months.

Following a discussion, Members were of the opinion that Thursday 12 August 2010, would be the most convenient date.

Resolved

That a training session be held, for Members of the Overview & Scrutiny Committee at 2pm on Thursday 12 August 2010 at Ryedale House, Malton.

13 **Annual Audit Planning Report**

The Corporate Director (s151) presented the annual audit planning report (previously circulated) which had been prepared by Deloitte.

The report covered the following areas:

- Scope of work and approach
- Key audit risks
- Consideration of fraud
- Internal control
- Client service team
- Responsibility statement
- Executive summary

The report was discussed in detail and Mr Ritchie from Deloitte, provided further details as required.

Resolved

That the report be received.

14 **Service Risk Register - Housing and Economy**

The Head of Economy and Housing submitted a report (previously circulated) in order to present the service risk register for the services within his team.

Members were reminded that risk identification and management was 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.

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 had been reduced and were now the responsibility of Heads of Service and their Managers.

The Service Risk Register for the Head of Economy and Housing was appended at annex A. Members were asked to note that in addition to the 96 new affordable homes being provided in the year up to 31 March 2010, Ryedale Council had 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. Grants had also been completed for a further 27 homes to a value of £257,000 to overcome the mobility problems of the residents. In addition £200,000 had been invested 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 had intervened to prevent 194 cases of potential homelessness over the last year. All of these and many other initiatives helped to address to vital issue of housing need.

Resolved

That the report be received.

15 Annual Internal Audit Report 2009/10

The Corporate Director (s151) submitted a report previously circulated in order to present the Annual Internal Audit Report 2009/2010 from the North Yorkshire Audit Partnership.

The report detailed in annex A, provided an assurance statement for the financial systems of the Council, based on the work undertaken to date, and past experience. It also included an assessment of the application of risk management, and management of identified risks within its programme of audits.

The report was discussed in detail, and Mr Ingham from the North Yorkshire Audit Partnership provided further information, in relation to a recent audit and the asset management system, and problems which had been encountered.

Councillor Andrews made reference to a special investigation he had requested the internal auditor undertake, in relation to Wentworth Street Car Park Fees, and he put forward the following motion.

“That Overview & Scrutiny Committee requests the appropriate Officer to instruct the internal audit partnership to investigate any discrepancies between Overview and Scrutiny on the Wentworth Street Fees Trial and the officer reports and the impact of not following officer recommendations on Malton Car Parking charges this year”.

This motion was seconded by Councillor Clark, and upon being put to the vote the motion was LOST.

Councillor Clark asked that his abstention be recorded on the basis that the investigation and subsequent report would not be completed before the car park charges for the next year were to be set.

16 **Attendance at Policy Committees**

Members considered a report that provided them with a shadowing rota for observing at the policy committee meetings for 2010/11.

Members were reminded that one of the four legislative roles of the Committee was holding the Executive to account. In Ryedale’s case this meant examining the policy committee minutes, and 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 had been previously agreed that Members of the Committee would take it in turns to attend both Policy & Resources and the Community Services & Licensing Committee/Commissioning Board for the purposes of observation. Subsequently Full Council agreed that this be an approved duty for Members of this Committee.

Councillor Clark requested that when members of the Overview & Scrutiny Committee receive copies of policy committee agenda’s for meetings that they are observing, the agenda clearly states that they are “Observing the meeting”.

Resolved

That the draft rota for attendance and the accompanying checklist be agreed and incorporated within the Council’s Scrutiny Handbook.

17 **Customer Complaints Monitoring**

The Customer Services & Benefits Manager submitted a report (previously circulated) in order to update Members on the number and type of complaints received under the Council’s complaint procedure for the period January to March 2010.

The report included complaints monitored under individual service complaint systems (annex A) and a summary of customer feedback from Community

Leisure Ltd (CLL) for the period January to March 2010 together with the action taken where appropriate (annex B).

Resolved

That the report be noted.

18 Sickness Absence Statistics

The Head of Organisational Development submitted a report (previously circulated) in order to update the Committee in relation to sickness absence monitoring against the BVPI 12.

Members were advised that the Council continued to use the former best value performance indicator (BVPI) 12 criteria for calculating the sickness absence rate as this provided a consistent record of analysis. BV12 was the calculation of average number of days per full time equivalent (FTE) employee.

The statistics indicated that for the 12 month period from 1 April 2009 to 31 March 2010 the average full time equivalent number of days sickness absence, per employee at Ryedale District Council was 8.89 days. This was a significant decrease from the previous figure reported of 10.68 days for the period 01 April 2008 to 31 March 2009. 8.89 days was the lowest rate since 2005/6

The report provided a table of data, comparing Ryedale District Councils sickness absence figures with those of neighbouring authorities for the past five years.

Resolved

That the report be received.

19 Future Scrutiny Review discussion

Members were reminded that the current scrutiny review would soon be concluded, and suggestions were sought for possible future reviews. Councillor Mrs Shields suggested that following recent scrutiny courses and seminars she had attended it was important for the Committee to be more outward looking in its perspective with recent reviews having been more internally focussed.

The Head of Transformation advised that she had met with the Chair recently and gave details of the following suggested topics:

1. CO2/Carbon Footprint – there was a great deal of work which could be done to identify/address/improve the Council's Carbon footprint.

2. Healthy Weight – The Ryedale Strategic Partnership had done some work on this, and it was considered to be an important concern for local families, a lot of useful work could be undertaken in this area.
3. Post Office Closures/Impact – The recent closures had impacted greatly on village life in Ryedale, and it was envisaged that some work around campaigning would be useful.

In addition to these topics, it was suggested that a review of the Magistrates Court may prove useful to residents, as two members of the committee had previously experienced difficulties with the system. Councillor Clark suggested that the Council's preparation for the forthcoming cuts to government funding could be scrutinised, as he was of the opinion that it had not been sufficiently debated at the Policy & Resources Committee.

A detailed discussion followed, and Members felt that it may be possible to taken two reviews, especially if they were not constrained by a time limit. The Post Office Closures, and Healthy Weight topics were chosen for further consideration, and Members felt that the Magistrates Court should be considered again as a potential review in the future.

Resolved

That the Head of Transformation prepare scoping reports for a potential review of following subjects:

- a) Post Office Closures
- b) Healthy Weight

The scoping reports to be brought to the next meeting of the Overview and Scrutiny Committee on the 19 August 2010.

20 Decisions from other Committees

List of decisions from the following Committees were submitted:

- Commissioning Board held on 3 June 2010
- Policy & Resources held on 24 June 2010

Councillor Clark referred to the minutes of the Commissioning Board held on the 3 June 2010 (minute no. 8 Board Structure Options), and advised that Councillor Mrs Cowan had wished to join both the Joint Commissioning Group for Economy and Housing, and the Joint Commissioning Group for Active and the Environment, but the minutes only recorded her on the Economy and Housing Group. The Corporate Director (s151) advised that he would investigate the matter further, and report back.

In addition, Councillor Clark referred to the minutes of the Commissioning Board held on the 3 June 2010 (minute no. 10 Moors and Coast Partnership), and expressed concern in relation to the funding cuts to the Moors and Coast partnership, and their impact in addition to cuts by Yorkshire Forward to Welcome to Yorkshire. A discussion followed on the merits of a “call in “ for this decision, and the Corporate Director (s151), clarified that as the item was a part A item, Members had the option to Call in the decision and that the timescale for the call in had not yet passed. Alternatively any Member of the Committee could write to the Chief Executive in accordance with the constitution, and ask for the item to be put on the agenda of the next Overview and Scrutiny Committee meeting.

Members were of the opinion that they preferred to have the minutes of the last meetings of Policy & Resources and the Commissioning Board on the agenda of Overview and Scrutiny, rather than the decision lists which had been the previous practice.

Resolved

- a) That the list of decisions of the Commissioning Board held on 3 June 2010 and Policy & Resources held on 24 June 2010 be received.
- b) That future Overview & Scrutiny Committee agenda's have the full minutes of the last meeting of the Commissioning Board and Policy & Resources Committee as appendices, rather than decision lists.

21 Any other business that the Chairman decides is urgent.

There were no other items of urgent business.

The meeting closed at 8.40pm.

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REPORT TO:	OVERVIEW AND SCRUTINY COMMITTEE
DATE:	19 AUGUST 2010
REPORT OF THE:	COUNCIL SOLICITOR ANTHONY WINSHIP
TITLE OF REPORT:	LOCAL GOVERNMENT OMBUDSMAN – ANNUAL REVIEW 2009/2010
WARDS AFFECTED:	ALL

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 This report provides information about the complaints made against Ryedale District Council which were dealt with by the Local Government Ombudsman in 2009/10.
- 1.2 It will also inform Members of the reflections of the Local Government Ombudsman (“LGO”) in her Annual Review of the complaints received against Ryedale District Council and dealt with by the Ombudsman’s Office during the year 2009/10.

2.0 RECOMMENDATION

- 2.1 To accept the Local Government Ombudsman’s Annual Review 2009/10.

3.0 REASON FOR RECOMMENDATION

- 3.1 This report is evidence that the Overview and Scrutiny Committee monitors complaints about the Council made to the Local Government Ombudsman and is fulfilling the Committees terms of reference.

4.0 SIGNIFICANT RISKS

- 4.1 Details are provided at Annex A.

REPORT

5.0 BACKGROUND

- 5.1 The Local Government Act 1974 established the position of Local Government Ombudsman in England and Wales.
- 5.2 The Local Government Ombudsman is an independent official appointed by Her Majesty the Queen.

- 5.3 One of the roles of the Local Government Ombudsman is to investigate complaints about Councils from members of the public. Their aim is to get Councils to put things right if they have gone wrong and if this has affected members of the public directly.
- 5.4 The LGO Advice Team now provides comprehensive information and advice to people who telephone, write or e-mail. It enables citizens to make informed decisions about whether to put their complaint to the LGO.
- 5.5 The Local Government Ombudsman can look at complaints about most Council services. The Ombudsman can consider complaints about things that have gone wrong, in the way a service has been given or the way a decision has been made, if this has caused problems to the complainant. For example, the complaint may be about:-
- Administrative fault, such as the Council making a mistake or not following its own rules;
 - Poor service or no service;
 - Delay; or
 - Bad advice
- 5.6 To make an adverse report, the Commissioner must find not only that there has been maladministration but also that the complainant has suffered injustice in consequence thereof.
- 5.7 A Local Commissioner may not question the merits of a decision taken without maladministration, and may not investigate matters which she regards as affecting all or most of the inhabitants of the area.
- 5.8 Although a local authority is not compelled to follow the recommendations in a Local Government Ombudsman report, most do.

6.0 INTRODUCTION

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

7.0 POLICY CONTEXT

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

8.0 REPORT

- 8.1 On 21 June 2010, the Council received the Annual Review for the period 2009/10 from the LGO, setting out a table of statistical data for the year ending 31 March 2010

and a note to help with the interpretation of the statistics. A copy of the Annual Review including the statistics and note are attached at Annex B.

Enquiries and Complaints received

- 8.2 The Ombudsman received a total of 6 enquiries and complaints about this Council during 2009/10. In two cases simple advice was given to the complainant. Four complaints were sent to the Ombudsman for consideration, three of which were to do with planning matters. This is a considerable drop compared to last year and the Local Government Ombudsman has reported that the Council is to be congratulated in its efforts.

Complaint Outcomes

- 8.3 Two complaints were determined during the year, a figure which differs from the number of complaints received because of work in hand at the beginning and the end of the year. This represents a further drop on last year and continues the downward trend in complaints forwarded to the Ombudsman.
- 8.4 Of those complaints determined by the Ombudsman, one was closed on the basis that it was not within the Ombudsman's jurisdiction. In the other case the Ombudsman found no evidence of maladministration by the Council sufficient to justify her continued involvement.
- 8.5 No public reports were issued against the Council during the year.

Local Settlements

- 8.6 The Ombudsman had no need to ask the Council to settle any complaints during the year.
- 8.7 The Ombudsman made no formal enquiries of the Council during the year.

9.0 IMPLICATIONS

- 9.1 The following implications have been identified:
- a) Financial
None directly arising from this report.
 - b) Legal
None directly arising from this report.
 - c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)
None directly arising from this report.

10.0 CONCLUSION

- 10.1 The Annual Review is a useful addition to other information held by the Council, highlighting how people experience or perceive its services. It should also be seen as an opportunity to continue to improve the services offered by the Council.
- 10.2 The Annual Review also keeps the Council informed of further developments in the LGO service.

**Anthony Winship
Council Solicitor**

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Background Papers:

Local Government Ombudsman – Annual Review 2009/10 dated 21 June 2010

Background Papers are available for inspection at:

Council website www.ryedale.gov.uk

LOCAL GOVERNMENT OMBUDSMAN – ANNUAL REVIEW RISK MATRIX – ANNEX A

Issue/Risk	Consequences if allowed to happen	Likelihood	Impact	Mitigation	Mitigated Likelihood	Mitigated Impact
The Committee fails to have due regard to the Annual Review of the Local Government Ombudsman	A lack of knowledge regarding complaints made about the Council and appropriate and proportional actions	3	C	The report is considered annually by the committee as part of its standing work	2	B

Score	Likelihood	Score	Impact
1	Very Low	A	Low
2	Not Likely	B	Minor
3	Likely	C	Medium
4	Very Likely	D	Major
5	Almost Certain	E	Disaster

ANNEX A

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21 June 2010

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

Our ref: Annual Letter/AS/jib
(Please quote our reference when contacting us and, if using email,
please put the reference number in the email subject header)

Dear Miss Waggott

Annual Review 2009/10

I enclose an annual review that summarises the complaints about your authority that my office has dealt with over the past year and provides a general update on developments affecting the Local Government Ombudsmen.

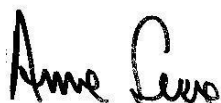
This annual review and those for all other councils will be published on our website (www.lgo.org.uk). This gives you the opportunity to consider the review first. If you think that there is any material factual inaccuracy please let my office know immediately. We will issue a press release about the publication of the annual reviews on our website. A summary of our complaint statistics for all authorities will also be published on our website.

I am arranging for a copy of this letter and the review to be sent to you electronically so that you can distribute it easily internally and put the annual review on your website. You do not need to include this covering letter on your website.

The annual review mentions the training that we provide and I also enclose information on the full range of courses available together with contact details for enquiries and bookings.

If your authority would find it helpful, one of my senior colleagues or I would be pleased to arrange to meet and discuss the annual review or any aspect of our work.

Yours sincerely



Anne Seex
Local Government Ombudsman

Beverley House
17 Shipton Road
York
YO30 5FZ

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Anne Seex
Local Government Ombudsman
Michael King
Deputy Ombudsman

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**The Local Government Ombudsman's
Annual Review
Ryedale District Council
for the year ended
31 March 2010**

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

Contents of Annual Review

Section 1: Complaints about Ryedale District Council 2009/10	3
Introduction.....	3
Enquiries and complaints received	3
Complaint outcomes	3
Liaison with the Local Government Ombudsman	3
Training in complaint handling	3
Conclusions	4
Section 2: LGO developments	5
Introduction.....	5
New schools complaints service launched	5
Adult social care: new powers from October	5
Council first.....	5
Training in complaint handling	6
Statements of reasons	6
Delivering public value	6
Appendix 1: Notes to assist interpretation of the statistics 2009/10	7
Appendix 2: Local authority report 2009/10	

Section 1: Complaints about Ryedale District Council 2009/10

Introduction

This annual review provides a summary of the complaints we have dealt with about Ryedale District Council. I hope that the review will be a useful addition to other information your authority holds on how people experience or perceive your services.

There are two appendices to the review: statistical data for 2009/10 and a note to help the interpretation of the statistics.

Enquiries and complaints received

In the year to 31 March 2010 the Commission received a total of six enquiries and complaints. In two cases simple advice was given to the complainant. Four complaints were sent to me for consideration, three of which were to do with planning matters. This is a considerable drop compared to last year and the Council is to be congratulated in its efforts.

Complaint outcomes

I determined two complaints during the year, a figure which differs from the number of complaints received because of work in hand at the beginning and the end of the year. This represents a further drop on last year and continues the downward trend in complaints forwarded to the Ombudsman.

Of those complaints determined by me, one was closed on the basis that it was not within my jurisdiction. In the other case I found no evidence of maladministration by the Council sufficient to justify my continued involvement.

Reports

I issued no public reports against the Council this year.

Local settlements

We will often discontinue enquiries into a complaint when a council takes or agrees to take action that we consider to be a satisfactory response – we call these local settlements. 26.9% of all decisions on complaints in the Ombudsmen's jurisdiction were local settlements. I had no need to ask the Council to settle any complaints during the year.

Liaison with the Local Government Ombudsman

I made no formal enquiries of the Council during the year.

Training in complaint handling

Part of our role is to provide advice and guidance about good administrative practice. We offer training courses for all levels of local authority staff in complaints handling and investigation. All courses are presented by experienced investigators. They give participants the opportunity to practise the skills needed to deal with complaints positively and efficiently. We can also provide

customised courses to help authorities to deal with particular issues and occasional open courses for individuals from different authorities.

We have extended the range of courses we provide and I have enclosed some information on the full range of courses available together with contact details for enquiries and bookings.

Conclusions

I hope this review provides a useful opportunity for you to reflect on how the Council deals with those complaints that residents make to my office. If there are any issues that you wish to discuss, I or one of my senior colleagues would be happy to meet with the Council.

**Mrs A Seex
Local Government Ombudsman
Beverley House
17 Shipton Road
YORK
YO30 5FZ**

June 2010

Section 2: LGO developments

Introduction

This annual review also provides an opportunity to bring councils up to date on developments in the LGO and to seek feedback.

New schools complaints service launched

In April 2010 we launched the first pilot phase of a complaints service extending our jurisdiction to consider parent and pupil complaints about state schools in four local authority areas. This power was introduced by the Apprenticeships, Skills, Children and Learning Act 2009.

The first phase involves schools in Barking and Dagenham, Cambridgeshire, Medway and Sefton. The Secretary of State no longer considers complaints about schools in these areas. In September the schools in a further 10 local authority areas are set to join the pilot phase.

We are working closely with colleagues in the pilot areas and their schools, including providing training and information sessions, to shape the design and delivery of the new service. It is intended that by September 2011 our jurisdiction will cover all state schools in England.

A new team in each office now deals with all complaints about children's services and education on behalf of the Ombudsman. Arrangements for cooperation with Ofsted on related work areas have been agreed.

For further information see the new schools pages on our website at www.lgo.org.uk/schools/

Adult social care: new powers from October

The Health Act 2009 extended the Ombudsmen's powers to investigate complaints about privately arranged and funded adult social care. These powers come into effect from 1 October 2010 (or when the Care Quality Commission has re-registered all adult care providers undertaking regulated activity). Provision of care that is arranged by an individual and funded from direct payments comes within this new jurisdiction.

Each Ombudsman has set up a team to deal with all adult social care complaints on their behalf. We expect that many complaints from people who have arranged and funded their care will involve the actions of both the local authority and the care provider. We are developing information-sharing agreements with the Care Quality Commission and with councils in their roles as adult safeguarding leads and service commissioners.

Council first

We introduced our Council first procedure in April last year. With some exceptions, we require complainants to go through all stages of a council's own complaints procedure before we will consider the complaint. It aims to build on the improved handling of complaints by councils.

We are going to research the views of people whose complaints have been referred to councils as premature. We are also still keen to hear from councils about how the procedure is working, particularly on the exception categories. Details of the categories of complaint that are normally treated as exceptions are on our website at www.lgo.org.uk/guide-for-advisers/council-response

Training in complaint handling

Demand for our training in complaint handling has remained high, with 118 courses delivered over the year to 53 different authorities. Our core Effective Complaint Handling course is still the most popular – we ran some of these as open courses for groups of staff from different authorities. These are designed to assist those authorities that wish to train small numbers of staff and give them an opportunity to share ideas and experience with other authorities.

The new Effective Complaint Handling in Adult Social Care course, driven by the introduction of the new statutory complaints arrangements in health and adult social care in April 2009, was also popular. It accounted for just over a third of bookings.

Over the next year we intend to carry out a thorough review of local authority training needs to ensure that the programme continues to deliver learning outcomes that improve complaint handling by councils.

Statements of reasons

Last year we consulted councils on our broad proposals for introducing statements of reasons on the individual decisions of an Ombudsman following the investigation of a complaint. We received very supportive and constructive feedback on the proposals, which aim to provide greater transparency and increase understanding of our work. Since then we have been carrying out more detailed work, including our new powers. We intend to introduce the new arrangements in the near future.

Delivering public value

We hope this information gives you an insight into the major changes happening within the LGO, many of which will have a direct impact on your authority. We will keep you up to date through LGO Link as each development progresses, but if there is anything you wish to discuss in the meantime please let me know.

Mindful of the current economic climate, financial stringencies and our public accountability, we are determined to continue to increase the efficiency, cost-effectiveness and public value of our work.

**Mrs A Seex
Local Government Ombudsman
Beverley House
17 Shipton Road
YORK
YO30 5FZ**

June 2010

Appendix 1: Notes to assist interpretation of the statistics 2009/10

Table 1. LGO Advice Team: Enquiries and complaints received

This information shows the number of enquiries and complaints received by the LGO, broken down by service area and in total. It also shows how these were dealt with, as follows.

Premature complaints: The LGO does not normally consider a complaint unless a council has first had an opportunity to deal with that complaint itself. So if someone complains to the LGO without having taken the matter up with a council, the LGO will either refer it back to the council as a 'premature complaint' to see if the council can itself resolve the matter, or give advice to the enquirer that their complaint is premature.

Advice given: These are enquiries where the LGO Advice Team has given advice on why the LGO would not be able to consider the complaint, other than the complaint is premature. For example, the complaint may clearly be outside the LGO's jurisdiction.

Forwarded to the investigative team (resubmitted premature and new): These are new cases forwarded to the Investigative Team for further consideration and cases where the complainant has resubmitted their complaint to the LGO after it has been put to the council.

Table 2. Investigative Team: Decisions

This information records the number of decisions made by the LGO Investigative Team, broken down by outcome, within the period given. **This number will not be the same as the number of complaints forwarded from the LGO Advice Team** because some complaints decided in 2009/10 will already have been in hand at the beginning of the year, and some forwarded to the Investigative Team during 2009/10 will still be in hand at the end of the year. Below we set out a key explaining the outcome categories.

MI reps: where the LGO has concluded an investigation and issued a formal report finding maladministration causing injustice.

LS (local settlements): decisions by letter discontinuing our investigation because action has been agreed by the authority and accepted by the LGO as a satisfactory outcome for the complainant.

M reps: where the LGO has concluded an investigation and issued a formal report finding maladministration but causing no injustice to the complainant.

NM reps: where the LGO has concluded an investigation and issued a formal report finding no maladministration by the council.

No mal: decisions by letter discontinuing an investigation because we have found no, or insufficient, evidence of maladministration.

Omb disc: decisions by letter discontinuing an investigation in which we have exercised the LGO's general discretion not to pursue the complaint. This can be for a variety of reasons, but the most common is that we have found no or insufficient injustice to warrant pursuing the matter further.

Outside jurisdiction: these are cases which were outside the LGO's jurisdiction.

Table 3. Response times

These figures record the average time the council takes to respond to our first enquiries on a complaint. We measure this in calendar days from the date we send our letter/fax/email to the date that we receive a substantive response from the council. The council's figures may differ somewhat, since they are likely to be recorded from the date the council receives our letter until the despatch of its response.

Table 4. Average local authority response times 2009/10

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

LGO Advice Team

Enquiries and complaints received	Planning and building control	Transport and highways	Other	Total
Advice given	1	1	0	2
Forwarded to investigative team (new)	3	0	1	4
Total	4	1	1	6

Investigative Team

Decisions	MI reps	LS	M reps	NM reps	No mal	Omb disc	Outside jurisdiction	Total
2009 / 2010	0	0	0	0	1	0	1	2

Average local authority resp times 01/04/2009 to 31/03/2010

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

Types of authority	<= 28 days %	29 - 35 days %	> = 36 days %
District Councils	61	22	17
Unitary Authorities	68	26	6
Metropolitan Authorities	70	22	8
County Councils	58	32	10
London Boroughs	52	36	12
National Parks Authorities	60	20	20

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REPORT TO:	OVERVIEW AND SCRUTINY COMMITTEE
DATE:	19 AUGUST 2010
REPORT OF THE:	HEAD OF ENVIRONMENT PHIL LONG
TITLE OF REPORT:	SERVICE RISK REGISTER - ENVIRONMENT
WARDS AFFECTED:	ALL

1.0 PURPOSE OF REPORT

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

2.0 RECOMMENDATIONS

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

3.0 REASONS SUPPORTING DECISION

- 3.1 Risk identification and management is an integral element of organisational management to secure the achievement of the Council's corporate objectives. Risk Management should also form a key part of any budget making decisions.

4.0 REPORT

- 4.1 Service Risk Registers (SRR) were originally established from work undertaken by the Audit Partnership in conjunction with Service Unit Managers, however, since the management restructure the number of registers have been reduced and are now the responsibility of the Heads of Service and their managers. These registers have not yet been subject to Member review.
- 4.2 Annex A outlines the SRR for the Head of Environment. It is envisaged that each register will be presented to this committee on a rotational basis highlighting changes to risks and work undertaken to mitigate those risks.

5.0 CONCLUSION

- 5.1 Further reports will be brought to the Overview and Scrutiny Committee as the responsible committee for monitoring and evaluating risks within the Council.

Background Papers:

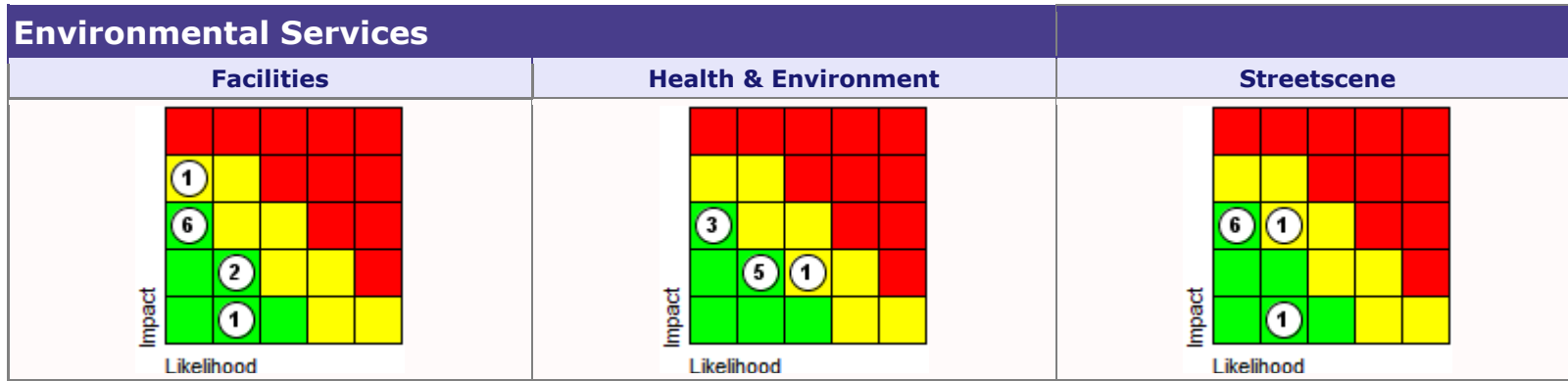
None

OFFICER CONTACT:

Please contact Phil Long if you require any further information on the contents of this report. The officer can be contacted at Ryedale House on 01653 600666 or e-mail phil.long@ryedale.gov.uk.




























Service Risk Register – Environmental Services

Generated on: 28 July 2010




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

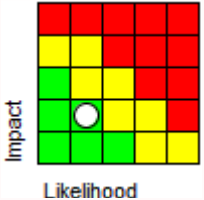
Risk Summary

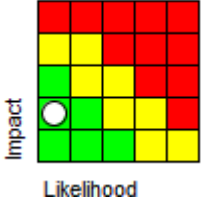
Status	Code	Title	Status	Code	Title
	FE 01	Sale/purchase of property at incorrect values and asset valuations not shown at true balance on balance sheet		HE 05	Contaminated Land.
	FE 02	Failure to adhere to correct procedures in Landlord and Tenant matters.		HE 06	Health & Safety Enforcement
	FE 03	Failure in carrying out rent and lease reviews.		HE 07	MVM Software and e-government developments
	FE 04	Capital projects		HE 09	Food Safety
	FE 05	Street Lighting - knockdowns		HE 10	Local Air Quality Management (LAQM)-Air Quality Review and Assessment
	FE 06	Street Lighting		SS 01	Waste Management (recycling & refuse collection)
	FE 07	Failure to regularly inspect the condition of all buildings		SS 02	Failure to provide a collection service for Trade Waste.
	FE 08	Property Unit – team member leaving		SS 03	Failure to provide a street cleaning service.
	FE 09	Street naming & numbering – incorrectly addressed		SS 04	Failure to ensure that Taxi's are appropriately licensed.
	FE 10	Property Unit – inadequate training		SS 05	Failure to secure and administer 'minor contracts'
	HE 01	Inadequate capacity to respond to major incident		SS 06	Failure to maintain vehicles.
	HE 02	Inadequate staffing capacity to respond to the existing commitments and government initiatives on sport, play and leisure		SS 07	failure to comply with Health & Safety
	HE 03	Recruitment & Retention of staff		SS 08	Depot security is compromised.
	HE 04	Private Water Supply regulations			

FE 01 Sale/purchase of property at incorrect values and asset valuations not shown at true balance on balance sheet

Risk Code	Risk Title	Description	Status
FE 01	Sale/purchase of property at incorrect values and asset valuations not shown at true balance on balance sheet	Sale/purchase of property at incorrect values and asset valuations not shown at true balance on balance sheet	

Consequences Financial cost to the Council and breach of S123 Local Gov Act.

Current Risk Matrix	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

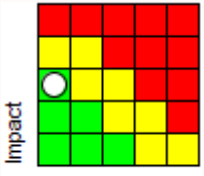
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

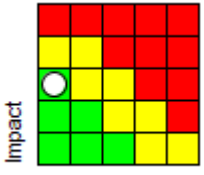
FE 02 Failure to adhere to correct procedures in Landlord and Tenant matters.

Risk Code	Risk Title	Description	Status
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FE 02	Failure to adhere to correct procedures in Landlord and Tenant matters.	Failure to adhere to correct procedures in Landlord and Tenant matters.	
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Consequences Not obtaining vacant possession of properties when required.


Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	1
		Medium		Very Low

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

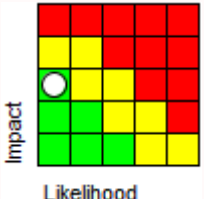
Risk Actions

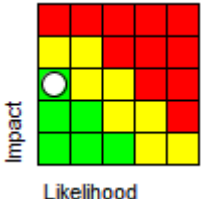
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

FE 03 Failure in carrying out rent and lease reviews.

Risk Code	Risk Title	Description	Status
FE 03	Failure in carrying out rent and lease reviews.	Failure in carrying out rent and lease reviews.	

Consequences Not maximising rental income


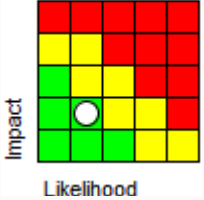
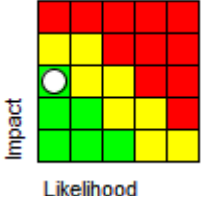
Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	1
		Medium		Very Low

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

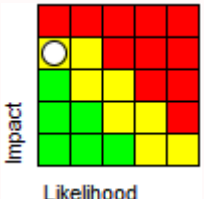
FE 04 Capital projects

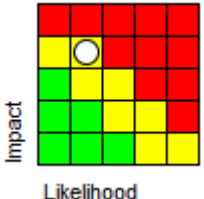
Risk Code	Risk Title	Description					Status
FE 04	Capital projects	Capital projects					
Consequences		Failure to implement and complete within specified dates. Exceed budget. Reputation					
Current Risk Matrix		Current Rating Description				Last Review Date	
		Current Impact B Minor	Current Likelihood 2 Not Likely	28 May 2009			
Target Risk Matrix		Target Rating Description				SMT Lead	
		Target Impact C Medium	Target Likelihood 1 Very Low	Phil Long			
Risk Actions							
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

FE 05 Street Lighting - knockdowns



Risk Code	Risk Title	Description	Status
FE 05	Street Lighting - knockdowns	Street Lighting - knockdowns	

Consequences Exposure of public to risk of electrocution. Health & Safety

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	D	Current Likelihood	1
		Major		Very Low

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	D	Target Likelihood	2
		Major		Not Likely

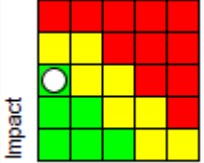
Risk Actions

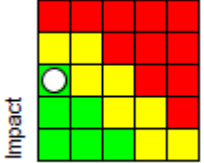
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	RiskA FE 05.01	monitor any in hour knock downs to ensure prompt action taken		<div style="width: 100%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">100%</div></div>	31 Mar 2010	Phil Long	OK on going monitoring
	RiskA FE 05.02	Monitor any knockdowns to ensure that there are no in or out of hours issues with the authorities' response		<div style="width: 25%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">25%</div></div>	31 Mar 2010	Phil Long	OK on going monitoring

FE 06 Street Lighting

Risk Code	Risk Title	Description	Status
FE 06	Street Lighting		


Consequences Possibility of column collapse

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	1
		Medium		Very Low

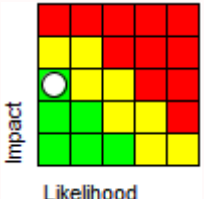
Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	C	Target Likelihood	1
		Medium		Very Low

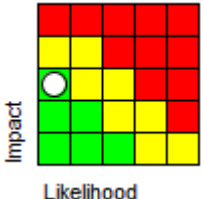
Risk Actions							
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

FE 07 Failure to regularly inspect the condition of all buildings

Risk Code	Risk Title	Description	Status
FE 07	Failure to regularly inspect the condition of all buildings		

Consequences Health & safety and legal implications


Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	1
		Medium		Very Low

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

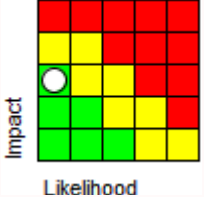
Risk Actions

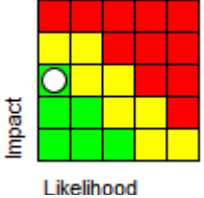
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

FE 08 Property Unit – team member leaving

Risk Code	Risk Title	Description	Status
FE 08	Property Unit – team member leaving		

Consequences Backlog of work / failure in delivery of service


Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	1
	Medium	Very Low	01 Jun 2009	

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

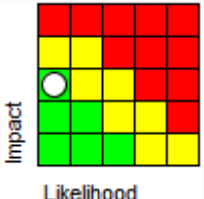
Risk Actions

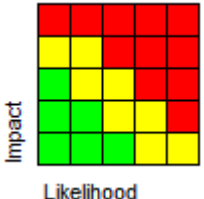
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

FE 09 Street naming & numbering – incorrectly addressed

Risk Code	Risk Title	Description	Status
FE 09	Street naming & numbering – incorrectly addressed	-- enter risk details here --	

Consequences Reputation / financial

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	01 Jun 2009
		Medium		

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact		Target Likelihood	Phil Long

Risk Actions

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

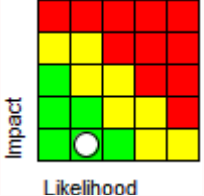
FE 10 Property Unit – inadequate training

Risk Code	Risk Title	Description	Status
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FE 10	Property Unit – inadequate training		
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Consequences Not keeping with up to date with legislation etc resulting in losing professional qualification

Current Risk Matrix	Current Rating Description			Last Review Date
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	Current Impact	A	Current Likelihood	2	01 Jun 2009
		Low		Not Likely	


Target Risk Matrix	Target Rating Description			SMT Lead
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	Target Impact		Target Likelihood		Phil Long

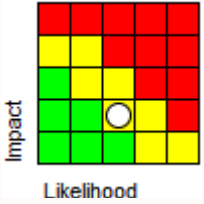
Risk Actions

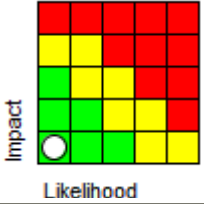
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

HE 01 Inadequate capacity to respond to major incident



Risk Code	Risk Title	Description	Status
HE 01	Inadequate capacity to respond to major incident	Inadequate capacity to respond to major incident e.g. food poisoning, major contamination risk or introduction of new legislation e.g. Private water Supplies or new area of work	

Consequences Capacity to respond to such incident/legislation would impact on the routine work of the section-Inadequate skills and knowledge-Unable to comply with statutory requirements-poor assessment by external inspectors/agencies


Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	B	Current Likelihood	11 Jun 2009
		Minor		

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	A	Target Likelihood	Phil Long
		Low		

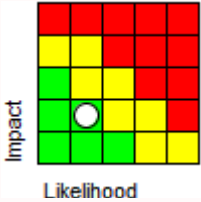
Risk Actions

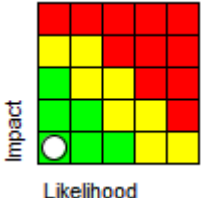
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	RiskA HE 01.01	In eventuality re prioritisation of work by SUM and potential of assistance from Partnering Authorities			31 Mar 2010	Phil Long; Phil Long	The unit is undergoing a review currently. Outcomes could have the potential to effect the risk score

HE 02 Inadequate staffing capacity to respond to the existing commitments and government initiatives on sport, play and leisure

Risk Code	Risk Title	Description	Status
HE 02	Inadequate staffing capacity to respond to the existing commitments and government initiatives on sport, play and leisure		

Consequences -failure to deliver the Big Lottery Programme-Inadequate skills and knowledge-failure to capitalize on financial grants for the District-failure to advance initiatives in play and sport

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	B	Current Likelihood	11 Jun 2009
		Minor		

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	A	Target Likelihood	Phil Long
		Low		

Risk Actions

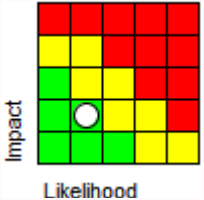
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

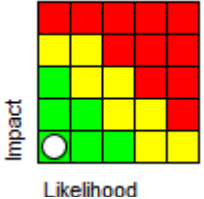
HE 03 Recruitment & Retention of staff

Risk Code	Risk Title	Description	Status
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HE 03	Recruitment & Retention of staff		
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Consequences -Inadequate staffing to fulfil service requirements-Difficulty recruiting due to high house prices and national shortage of EHO's-Inadequate experienced and specialised staff.-Failure to meet legislative requirements.


Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	B	Current Likelihood	11 Jun 2009
		Minor		

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	A	Target Likelihood	Phil Long
		Low		

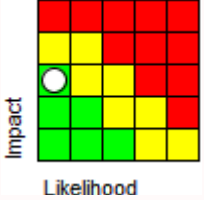
Risk Actions

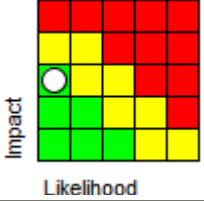
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

HE 04 Private Water Supply regulations

Risk Code	Risk Title	Description	Status
HE 04	Private Water Supply regulations		


Consequences Non compliance with statutory duty

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	11 Jun 2009
		Medium		

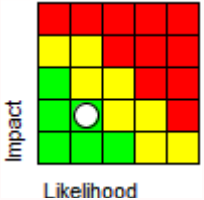
Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	C	Target Likelihood	Phil Long
		Medium		

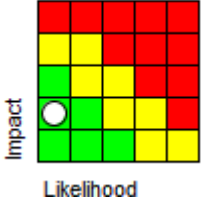
Risk Actions							
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

HE 05 Contaminated Land

Risk Code	Risk Title	Description	Status
HE 05	Contaminated Land.	Requirement to identify number of sites of potential concern and number of sites where remediation of land is necessary	

Consequences
 Failure to implement contaminated land strategy and limit the Council's liability. Failure to provide funding for additional resources. Shared officer post with Selby now ended. Strategy reviewed by CS&L 31/1/08.

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	B	Current Likelihood	11 Jun 2009
		Minor		

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	B	Target Likelihood	Phil Long
		Minor		

Risk Actions

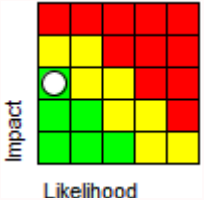
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

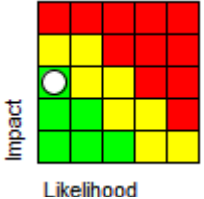
HE 06 Health & Safety Enforcement

Risk Code	Risk Title	Description	Status
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HE 06	Health & Safety Enforcement		
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Consequences (a) Failure to participate in the FIT 3 programme for 2008/09. New Section 18 requirements published and needs reviewing. Have up to 3 years to comply. (b) Incorporate H&S within ISO 9001:2000 Quality Management System


Current Risk Matrix	Current Rating Description			Last Review Date
	C	Current Likelihood	1	11 Jun 2009
Current Impact	Medium	Very Low		

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

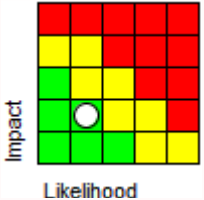
Risk Actions

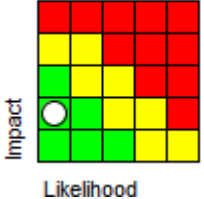
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

HE 07 MVM Software and e-government developments

Risk Code	Risk Title	Description	Status
HE 07	MVM Software and e-government developments		

Consequences Northgate MVM system which deals with all Env Health and Housing systems installed in October 2005.. Next step is to link to the corporate gazetteer to permit the functioning of other e-gov smart options e.g. mobile working etc


Current Risk Matrix	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

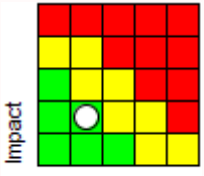
Risk Actions

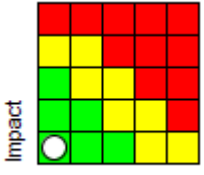
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

HE 09 Food Safety

Risk Code	Risk Title	Description	Status
HE 09	Food Safety	(a) Implementation of new FSA Code of Practice and Monitoring system (LAMES) (b) Introduction of Scores on the Doors	

Consequences Consequent scrutiny of FSA


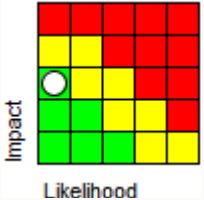
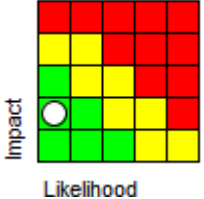
Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	B	Current Likelihood	2
		Minor		Not Likely

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


Risk Actions

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note


HE 10 Local Air Quality Management (LAQM)-Air Quality Review and Assessment

Risk Code	Risk Title	Description	Status					
HE 10	Local Air Quality Management (LAQM)- Air Quality Review and Assessment							
Consequences		-Failure to meet Defra deadline. Possibility of requirement to undertake modelling and /or Declare Air Quality management Area.-LA highlighted as a non responder . Ultimately LA would have to provide explanation to Minister						
Current Risk Matrix		Current Rating Description		Last Review Date				
		<table border="1"> <tr> <td>C</td> <td rowspan="2">Current Likelihood</td> <td>1</td> </tr> <tr> <td>Medium</td> <td>Very Low</td> </tr> </table>	C	Current Likelihood	1	Medium	Very Low	11 Jun 2009
C	Current Likelihood	1						
Medium		Very Low						
Target Risk Matrix		Target Rating Description		SMT Lead				
		<table border="1"> <tr> <td>B</td> <td rowspan="2">Target Likelihood</td> <td>1</td> </tr> <tr> <td>Minor</td> <td>Very Low</td> </tr> </table>	B	Target Likelihood	1	Minor	Very Low	Phil Long
B	Target Likelihood	1						
Minor		Very Low						
Risk Actions								
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note	

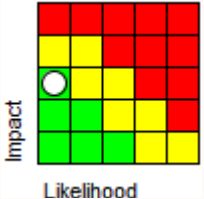
SS 01 Waste Management (recycling & refuse collection)

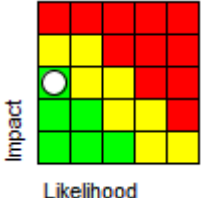
Risk Code	Risk Title	Description	Status				
SS 01	Waste Management (recycling & refuse collection)	Meeting recycling standards. Vehicle failure. Strikes. Failure of management systems limited contracts for composting and dry recyclables					
Consequences		Failure to collect refuse to 23K households resulting in adverse publicity/environmental public health issues. Removal of service from RDC. Possible removal of funding. Difficulties in marketing recyclable products if businesses fail					
Current Risk Matrix		Current Rating Description		Last Review Date			
	Current Impact	C	Current Likelihood	1			
		Medium		Very Low	11 Jun 2009		
Target Risk Matrix		Target Rating Description		SMT Lead			
	Target Impact	C	Target Likelihood	1			
		Medium		Very Low	Phil Long		
Risk Actions							
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

SS 02 Failure to provide a collection service for Trade Waste.

Risk Code	Risk Title	Description	Status
SS 02	Failure to provide a collection service for Trade Waste.	Increased levels of landfill tax by central government plus LATS liabilities potentially pricing District provided trade waste out of the existing market. (NB external contractors are not faced with the same LATS penalties)	

Consequences
Loss of revenue. Loss of customers. Potential increase in cost re domestic waste collection. Revenue budget implications.


Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	1
		Medium		Very Low

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

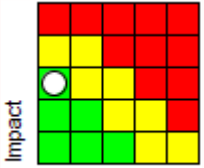
Risk Actions

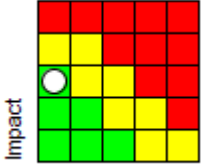
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

SS 03 Failure to provide a street cleaning service.

Risk Code	Risk Title	Description	Status
SS 03	Failure to provide a street cleaning service.		

Consequences Court Action under Environment Protection Act. Adverse publicity. Environmental/public health issues if service not carried out. Reputation of the Council

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	1
		Medium		Very Low

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

Risk Actions

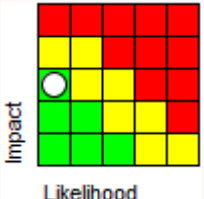
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

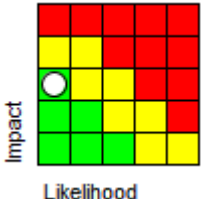
SS 04 Failure to ensure that Taxi's are appropriately licensed.

Risk Code	Risk Title	Description	Status
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SS 04	Failure to ensure that Taxi's are appropriately licensed.		
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Consequences Public not protected - physically/financially. Trade unregulated – no control on fees charges/vehicle safety.


Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	11 Jun 2009
		Medium		

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	C	Target Likelihood	Phil Long
		Medium		

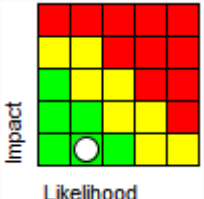
Risk Actions

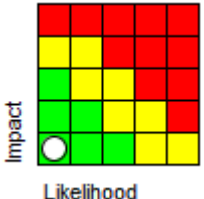
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

SS 05 Failure to secure and administer 'minor contracts'

Risk Code	Risk Title	Description	Status
SS 05	Failure to secure and administer 'minor contracts'		

Consequences Loss of revenue. Loss of manpower.

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	A	Current Likelihood	11 Jun 2009
		Low		

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	A	Target Likelihood	Phil Long
		Low		

Risk Actions

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

SS 06 Failure to maintain vehicles.

Risk Code	Risk Title	Description	Status
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SS 06	Failure to maintain vehicles.	Failure to comply with requirements of O licence.	
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Consequences
HSE enforcement action. Operator's licence withdrawn. Potentially no services – depot closes. Corporate manslaughter charges.

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	1
		Medium		Very Low

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

SS 07 failure to comply with Health & Safety

Risk Code	Risk Title	Description	Status
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SS 07	Failure to comply with Health & Safety		
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Consequences Injury to staff. Litigation. Reputation to the Council. Financial cost.


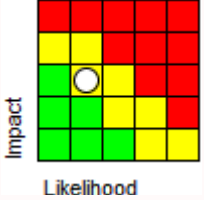
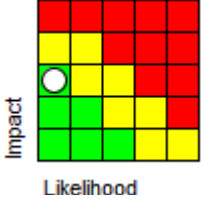

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	11 Jun 2009
		Medium		

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	C	Target Likelihood	Phil Long
		Medium		

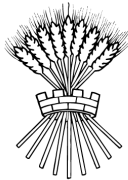
Risk Actions

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note

SS 08 Depot security is compromised.

Risk Code	Risk Title	Description					Status
SS 08	Depot security is compromised.						
Consequences		Stolen of damaged goods/property. Insurance costs.					
Current Risk Matrix		Current Rating Description				Last Review Date	
		Current Impact	C	Current Likelihood	2	11 Jun 2009	
			Medium		Not Likely		
Target Risk Matrix		Target Rating Description				SMT Lead	
		Target Impact	C	Target Likelihood	1	Phil Long	
			Medium		Very Low		
Risk Actions							
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	RiskA SS 08.01	Increased CCTV coverage is being investigated. A new fence has been purchased and awaits erection at back of depot	Increased CCTV coverage or new fence at back of depot	<div style="width: 100%; background-color: #4f81bd; color: white; text-align: center;">100%</div>	31 Mar 2010	Phil Long	As all security requirements complete status downgraded to not likely

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REPORT TO:	OVERVIEW AND SCRUTINY COMMITTEE
DATE:	19 AUGUST 2010
REPORT OF THE:	HEAD OF ORGANISATIONAL DEVELOPMENT LOUISE SANDALL
TITLE OF REPORT:	OVERVIEW AND SCRUTINY REPORT - SICKNESS ABSENCE REVIEW
WARDS AFFECTED:	ALL

1.0 PURPOSE OF REPORT

- 1.1 To inform members of the review undertaken by the Overview and Scrutiny committee on Sickness Absence at Ryedale District Council.

2.0 RECOMMENDATION

- 2.1 It is recommended that members receive the concluding report on the committees review of sickness absence at Ryedale District Council and note the impact of the committees involvement.

3.0 REASON FOR RECOMMENDATION

- 3.1 To ensure continuous improvement in Ryedale District Council's sickness absence levels.

4.0 BACKGROUND

- 4.1 Overview and Scrutiny committee on 9 April 2009 agreed to review sickness absence within Ryedale District Council as a result of the sickness absence levels remaining substantially higher than the nation average and in comparison to local authority neighbours.

- 4.2 The committee resolved 'That a review of sickness procedures be undertaken as part of the Committee's work programme, and the review commence with the Sickness Policy, before moving onto the other suggested areas'.

- 4.3 The committee approached the review by:

- Reviewing the Sickness Absence Policy
- Receiving a presentation from North Yorkshire County Council
- Reviewing the management information statistics
- Inviting UNISON to a task group meeting

- Receiving a presentation from Selby District Council

5.0 INTRODUCTION

- 5.1 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.
- 5.2 Ryedale District Council monitors sickness absence by the former best value performance indicator (BVPI) 12 to ensure a consistent record of analysis. BV12 is the calculation of average number of days per full time equivalent (FTE) employee. The table below gives Ryedale District Council results since 2005.

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

- 5.3 In comparing Ryedale District Council to our neighbouring authorities, Ryedale has one of the highest levels of sickness absence in North Yorkshire.

6.0 REPORT

Sickness Absence Policy and Procedure Review

- 6.1 The review of the sickness absence management policy concluded that the policy was fit for purpose however the procedures needed improving. The following points were highlight for development:
- The document had a negative tone
 - Not enough information in the procedures means there is too much managers' discretion
 - The procedures need to be open and give clarity about roles and responsibilities and who it is aimed at.
 - More information on when to issue targets for absence and warnings.
- 6.2 The procedures were revised in consultation with UNISON to include the above points and also with the following changes:
- Step by step guides on how to manage sickness absence, from both the employees and the line managers role
 - Differentiate between short term and long term sickness absence
 - Provide a managers toolkit
 - A question and answer section
 - Credit cards issued to all staff with details on the correct reporting procedures.

Presentation from North Yorkshire County Council (NYCC)

- 6.3 An officer and member from NYCC were invited to the committee to discuss their approach to managing sickness absence. A number of key points were discussed at the committee; thank you payments; attendance awards, removal of car user allowances, direct link between attendance and increments.
- 6.4 The committee concluded that a discussion should take place with UNISON over the NYCC approach. UNISON concluded that they are oppose to the direct link between

and attendance and increments and they do not support 'thank you' payments for good service and accelerated progression for exceptional performance.

Management Information

- 6.5 Sickness Absence statistics is a key tool in monitoring and analysing sickness absence. The committee reviewed the management information which is provided on a monthly basis to the Senior Management Team.
- 6.6 The committee concluded that comparative data from other local authorities should be included where possible and that information should be included about zero absences and the percentages of self certified and certified.

Task Group Overview and Scrutiny and representatives from UNISON

- 6.7 The committee provided UNISON the opportunity to present their suggestions on the impact of sickness absence, together with UNISON's recommendations for reducing sickness absence.
- 6.8 The topics which UNISON presented on were:
- Data Collection and Analysis
 - Setting Targets
 - The Use of Incentives – Rewards and Penalties
 - Intervention and Support
 - Positive Work Environment
 - Management of Attendance Policy
- 6.9 Data Collection and analysis, the committee agreed to extend the management information to include number of self certified days against number of certified days as a percentage of the total sickness absence days; Less than 6 working days; Between 6 days and 20 days; trend analysis of main causes of absence; and percentage of staff who have taken no sickness absence.
- 6.10 The committee further agreed that a Health and Well being Group be formed, this group has already had its first meeting and its first event, A Well Being Fair, which was well received by staff.
- 6.11 The committee recommended that a training programme be put together on the revised procedures, this has been done and delivered in conjunction with UNISON, with further sessions scheduled in the autumn.
- 6.12 The committee further recommended that managing stress in the workplace is critical especially in the current climate. Responding to Change workshops have been run for all staff, the workshops have received excellent feedback. Bite size sessions on stress are also planned to be held during the year.
- 6.13 The committee agreed that the current Occupational Health Service provision needs moving from a reactive service to a pro-active service with a Wellbeing plan and action plan forming part of the specification.
- 6.14 A review of the flexi scheme has taken place and consultation has taken place with service unit managers, UNISON and staff focus groups. This will conclude in more

flexible working procedures for all staff. This scheme is hoped to be implemented in the autumn.

Presentation from Selby District Council

- 6.15 The final part of the review was to discuss management of attendance with another Local Authority who has maintained low sickness absence, this authority was Selby.
- 6.16 The presentation from Selby outlined their approach to managing attendance and covered the following key points:
- Absence management policy
 - Training and Support
 - Accountability
 - Monitoring
 - Action
 - Follow up
- 6.17 It was recognised that the policy and procedures were very similar to Ryedale's. The key differences are:
- At formal interviews the line managers manager attend the meeting
 - More emphasis is put on attendance management at induction stage
 - Selby's lines of accountability are clearer by involving manager's managers at an early stage
 - Attendance management is linked into managers appraisals
 - Selby write to all staff who have not been absent from work due to sickness
 - The cost of sickness absence is highlighted throughout the process with mangers
- 6.18 Following on from this presentation Ryedale is going to consider how and when line managers manager's should be involved in the attendance management process. All managers will have attendance management in their appraisals and the induction process will emphasis Ryedale's attendance management procedures. In regards to celebrating those who have not had any sickness absence in 12 months HR will have further discussions with UNISON on how this is best implemented.

7.0 CONCLUSION

- 7.1 Overview and Scrutiny review of Absence Management has concluded a number of new initiatives and improvements in the monitoring of sickness absence within Ryedale District Council.
- 7.2 The key findings of the review are:
1. That the procedures should be expanded on to ensure they are user friendly and meaningful
 2. The policy and procedures need to be adopted consistently across the authority
 3. The triggers points within the policy should remain as they are
 4. Sickness monitoring should also include positive reporting
 5. The formation of a Health and Well being Group
 6. Ryedale should explore ways of celebrating those staff and departments who have no sickness absence in the year
 7. Regular training should be given to staff
 8. Induction programme to be extended to cover the Absence management policy and procedures
 9. A review should take place on flexi time and annual leave

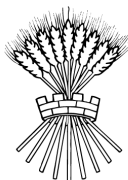
10. Currently sickness absence should not have a direct link to pay progression
- 7.3 The reviews success is in part evidenced by the 2009/2010 sickness absence figure of 8.89 days per employee. This is now the lowest figure that the authority has had since 2005/2006.
- 7.4 The committee would like to extend its thanks to UNISON, North Yorkshire County Council and Selby District Council for there participation in this review.
- 7.5 The review commenced in April 2009 and completed in August 2010 (18 months).

Louise Sandall

Head of Organisational Development

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REPORT TO:	OVERVIEW & SCRUTINY COMMITTEE
DATE:	19 AUGUST 2010
REPORT OF THE:	HEAD OF TRANSFORMATION CLARE SLATER
TITLE OF REPORT:	TERMS OF REFERENCE FOR SCRUTINY REVIEWS
WARDS AFFECTED:	ALL

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 To present members of the committee with a set of terms of reference for each of the two scrutiny review topics as agreed by the Committee.

2.0 RECOMMENDATION

- 2.1 That members of the committee:
- a) Agree the terms of reference for each of the reviews;
 - b) Identify members for each of the review task groups;
 - c) Agree the timeframe for the first stage of the reviews.

3.0 REASON FOR RECOMMENDATION

- 3.1 The key to a successful scrutiny review is agreeing a clear terms of reference before embarking on the review.
- 3.2 The task groups will undertake the work on the reviews and require a minimum of two members of the committee but are open to all.
- 3.3 The first phase of each review will inform the scope and timeframe for the subsequent phase of the reviews.

4.0 SIGNIFICANT RISKS

- 4.1 There are no significant risks associated with this report but it is anticipated that the work on healthy weight will inform the work being undertaken by the Joint Commissioning Group (Active and Environment) on Sport and Leisure provision in the District, increasing the chances of improved outcomes being achieved for Ryedale communities. The risk associated with the work on post office closures is that the network is continuing to shrink in Ryedale and that without this review the Council does not have the evidence with which to respond to any future consultations.

REPORT

5.0 BACKGROUND AND INTRODUCTION

- 5.1 Local authorities have a key role to play in reducing health inequalities and particularly by influencing the wider determinants of health. Key service areas through which the Council can influence health outcomes in our communities include:
- planning
 - housing
 - environmental services
 - culture and sport
 - work, worklessness and the local economy.

Issues related to achieving a healthy weight present the key challenge in Ryedale in relation to health inequality. It is intended that the scrutiny review will feed into the development of the Healthy Weight Strategy being developed by the RSP. There is also the potential for the review to influence the work of the Active and Environment Joint Commissioning Group on sport and leisure. The review will address all age obesity.

- 5.2 The review proposed in to the impact of post office closures on the communities of Ryedale will feed into any future consultations on changes to post office services or potential closures. It will also link to the work the Council undertakes in improving financial inclusion, supporting local community facilities and improving access to services and efficiency of delivery, thereby potentially mitigating the risk of loss of services through future post office closures.

6.0 POLICY CONTEXT

- 6.1 Impact of Post Office Closures:
Contributes to the achievement of the Councils aim of transforming the Council and the strategic objective of understanding our communities and meeting their needs.
- 6.2 Healthy Weight:
Contributes to the achievement of the Councils priority to help all residents to achieve a healthy weight by encouraging an active lifestyle, in communities where everyone feels welcome and safe.

7.0 CONSULTATION

- 7.1 Engagement with service users, businesses and providers of services will be a key element of each of the reviews. The Council will undertake both qualitative and quantitative research and may utilise the Ryedale Citizens Panel as part of the process.
- 7.2 Partners will be consulted on any recommendations to be made as part of the reviews.

8.0 REPORT DETAILS

- 8.1 The tables attached at annex A present a draft terms of reference for each review covering the following areas:
- Aim of the review
 - Why has this review been selected?
 - Who will undertake the review?
 - How will the review be undertaken?
 - What are the expected outputs?

- Timescale

9.0 IMPLICATIONS

9.1 The following implications have been identified:

- a) Financial
None currently. Support to the review working groups will be provided by the Transformation Team
- b) Legal
None
- c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)
None at this stage, equality impact assessment will be undertaken as part of the review process.

Clare Slater
Head of Transformation

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Background Papers:
None

Background Papers are available for inspection at:
N/A

Healthy Weight

Scrutiny Review – Draft Terms of Reference

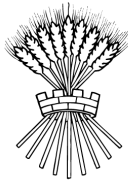
Aim of the Review	<p>To find practical ways by which Ryedale DC and its partners can:</p> <ul style="list-style-type: none"> • Improve services aimed at encouraging the prevention of obesity and achievement of a healthy weight for all residents and of all ages across the district. • Improve responses to existing obesity, helping people to lose weight and live healthier lives • Achieve improvements within the current challenging public sector funding climate • Anticipate the role the council can play in improving this aspect of public health and reducing health inequalities in light of changes in legislation which may follow the recent Health White Paper
Why has this review been selected?	<p>Ryedale has had high levels of obesity in all ages but notable in children, for a number of years. The Ryedale Strategic Partnership identified the achievement of a healthy weight as a priority for action in 2006. A number of projects and initiatives have been funded through the RSP and supported by officers of a number of partner organisations. Work to help people to achieve a healthy weight is being led by the Ryedale Healthy Weight Active Lives group.</p>
Who will undertake the review?	<p>The review will be carried out by a task group including:</p> <ul style="list-style-type: none"> • A minimum of 2 members of the O and S committee (but open to all) • The Head of Transformation • A representative of the Ryedale Healthy Weight Active Lives group • A representative from the Primary Care Trust. • Support will be provided by members of the Transformation Team
How will the review be undertaken?	<p>The task group will consider the arrangements that have been and need to be put in place across local partnerships to maximise the prevention of and response to obesity in Ryedale. Key to this will be contributing to the development of the Ryedale Healthy Weight Strategy.</p> <p>There will be a two stage scrutiny process:</p> <ul style="list-style-type: none"> • An initial desktop review of existing evidence will consider key academic and government documents, the current picture of 'healthy weight' across Ryedale, and activity on-going in Ryedale to achieve healthier lifestyles. • The second stage will involve an in-depth review of key issues and evidence gathering in order to inform the task group recommendations. <p>Evidence gathering sessions will be open to the public.</p>
What are the expected outputs?	<p>It is expected that the task group will produce a report, summarising the evidence they have gathered and containing specific recommendations for the Council, the Primary Care Trust, and other partner organisations as appropriate.</p>
Timescale	<p>It is anticipated that the group will report the first phase of the review in November 2010. The deadline for the second stage of the review will be established at this time.</p>

Impact of Post Office Closures

Scrutiny Review – Draft Terms of Reference

Aim of the Review	<p>To find practical ways by which Ryedale DC and its partners can:</p> <ul style="list-style-type: none"> • Improve the availability of services in local communities. • Provide an evidence base from which to influence future proposed closures or reductions in levels of service • To consider the options for delivering these services in future
Why has this review been selected?	<p>Ryedale lost a significant number of post offices through the network change programme in 2008. Changes to the provision put in place at the time of the closure programme continue as do actual post office closures. The Council needs to have evidence to respond to any forthcoming consultations on further closures or changes to the network. Also the Council may be able to work with post offices and other local community facilities to provide post office type services to our communities.</p>
Who will carry out the review?	<p>The review will be carried out by a task group including:</p> <ul style="list-style-type: none"> • A minimum of 2 members of the O and S committee (but open to all) • The Head of Transformation • The Customer Services and Benefits Manager • Support will be provided by members of the Transformation Team
How the review will be carried out?	<p>The task group will consider the impact of the post office closure programme on local communities. This will involve the study of recent research documents and the engagement of local people to ascertain the impact of changes in levels of service including:</p> <ul style="list-style-type: none"> • Sub-postmasters engaged in a range of delivery methods • Service users interviewed at a variety of locations utilising different delivery methods <p>The review will also investigate options for future provision of post office services and any value the Council can add through its own service delivery.</p> <p>Evidence will be gathered on the levels of usage of post office services and the range of services available and satisfaction with and usage of these. This will include the usage and needs of businesses in relation to post office services.</p> <p>Evidence gathering sessions will be open to the public.</p>
What are the expected outputs?	<p>It is expected that the task group will produce a report, summarising the evidence they have gathered and containing specific recommendations for the Council and other partner organisations as appropriate.</p>
Timescale	<p>It is anticipated that the group will report the outcomes of the review before 31 March 2011. Progress reports will be submitted to the committee throughout the review.</p>

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REPORT TO: OVERVIEW AND SCRUTINY COMMITTEE

DATE: 19 AUGUST 2010

REPORT OF THE: CUSTOMER SERVICES AND BENEFITS MANAGER
ANGELA WOOD

TITLE OF REPORT: CUSTOMER COMPLAINTS RECEIVED QUARTER 1

WARDS AFFECTED: ALL

1.0 PURPOSE OF REPORT

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

2.0 RECOMMENDATION

2.1 It is recommended that members accept the report as attached.

3.0 BACKGROUND AND INTRODUCTION

3.1 This report includes complaints monitored under individual service complaints systems (**Annex 1**).

3.2 The report also includes a summary of customer feedback to Community Leisure Ltd (CLL) for the period April – June 2010 together with the action taken where appropriate (**Annex 2**).

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

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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: APRIL – JUNE 2010

SERVICE UNIT	SUMMARY OF COMPLAINT	NO SETTLED WITHIN DEADLINE	RESULTANT SERVICE IMPROVEMENTS / ACTION TAKEN
Customer Services & Benefits	<ol style="list-style-type: none"> 1. Delays in processing Housing Benefit. 2. Benefit had been stopped. 3. Information not readily available at reception and on RDC website. 	3	<ol style="list-style-type: none"> 1. Letter sent to customer outlining process followed and explaining reasons for the delay were not due to RDC. 2. Letter sent to customer advising explaining why benefit stopped and requesting customer provides information required. 3. Letter sent to customer enclosing requested information. Staff and customer advised where information could be found on website.
Democratic Services	<ol style="list-style-type: none"> 1. Lack of personal notification of regarding election. 2. Lack of signage and low level polling booth. 3. Issue relating to statutory deadlines for postal votes 	3	<ol style="list-style-type: none"> 1. Letter sent to customer explaining action taken and referring them to the Ministry of Justice. 2. Letter sent to customer advising that appropriate signage was in place and a low level booth was available. 3. Letter sent to customer referring them to the Ministry of Justice.

Development Services	1. Planning approval process and subsequent approval of an application.	1	1. Letter sent to customer explaining process.
Economic & Community	2. Anti social behaviour at Bridge House. 3. Charging of Commission taken at Tourist Information Centres.	2	1. Letter sent to customer explaining situation and actions to date and meeting held with customer and Corporate Director. Multi agency problem solving exercise instigated. 2. Investigation took place and letter sent to customer advising this national standard practice and notification in place.
Facilities & Emergency Planning		0	
Finance & Revenue Services	1. Change in direct debit payments.	1	1. Letter of apology sent explaining reason for change and problem currently being addressed.
Forward Planning	1. The stop of work on footpaths undertaken by NYCC.	1	1. Letter sent to customer outlining action and involvement to date.
Health & Environment	1. Officers demanding access during investigation to odour. 2. Officers demanding access during investigation to odour.	2	1. Complaint investigated and letter sent to customer explaining no evidence that officers acted unprofessionally. 2. Complaint investigated and letter sent to customer explaining no evidence that officers acted unprofessionally.
Housing Services	1. Objection to the suggested adaptation and officers' attitude.	1	1. Investigation took place and letter sent to customer explaining reason for suggestion adaptation and no evidence officer behaved unprofessionally.

Human Resources		0	
ICT Services		0	
Legal		0	
Streetscene Services	<ol style="list-style-type: none"> 1. Failure of on line payments. 2. Overheating of hand drier in public toilets. 3. Objection that motorcyclists are charged for parking. 	3	<ol style="list-style-type: none"> 1. Letter sent to customer explaining customers input error however more robust checking procedures to take place in future. 2. Driers checked and found to be ok letter sent to customer explaining action and outcome. 3. Letter sent to customer outlining Council policy in relation to parking charges.
Transformation		0	
TOTAL		17	

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Agenda Item 9

DERWENT POOL – CUSTOMER FEEDBACK

APRIL TO JUNE 2010	very good	good	fair	poor	very poor
Efficiency of the staff	4	2	0	0	0
Helpfulness of the staff	3	1	2	0	0
Courtesy of the staff	4	2	0	0	0
General cleanliness	3	2	1	0	0
Condition of the facilities	3	1	1	0	1
Safety and security	4	2	0	0	0
Pool water temperature	3	1	1	0	1
Air temperature	4	1	1	0	0
Value for money	4	2	0	0	0
Overall experience	3	2	1	0	0
	35	16	7	0	2

MONTH	COMMENTS	ACTION
April	Monday & Friday to have a 7.30am start	Major alterations to the timetables such as
	instead of 8.30am	these have a significant impact on staffing
	Please can Derwent & Ryedale Pools have	levels and need careful consideration.
	differing timetables so I have a greater	Some sessions, such as school swimming
	opportunity to select sessions, they are	are unable to be moved.
	both nearly identical.	
May	The tiling in the ladies changing is dreadful	We are currently awaiting RDC to
	and becoming non - existant. It is mostly	instigate full repair work to this area.
	patched up with boarding and tape. I hate	
	to imagine what the Dept of Health would	
	think.	
	Some staff, they don't know how to smile to	
	customers	
	The service you give is excellent.	

LIFESTYLES – CUSTOMER COMMENTS FEEDBACK

APRIL TO JUNE 2010	very good	good	fair	poor	very poor
Efficiency of the staff	2	0	0	0	0
Helpfulness of the staff	2	0	0	0	0
Courtesy of the staff	2	0	0	0	0
General cleanliness	3	0	0	0	0
Condition of the facilities	3	0	0	0	0
Condition of the equipment	2	0	1	0	0
Safety and security	2	0	1	0	0
Air Temperature	2	0	1	0	0
Value for money	2	0	1	0	0
Overall experience	1	1	1	0	0
	21	1	5	0	0

MONTH	COMMENTS	ACTION
April	Nice to see incentives to motivate members Thank you	
May		
June	By opening 1 / 2 extra mornings ie. 7.30am for people who work late shifts x 2	Unfortunately this is not possible at the moment due to staffing rotas.

RYEDALE POOL – CUSTOMER COMMENTS FEEDBACK

APRIL TO JUNE 2010	very good	good	fair	poor	very poor
Efficiency of the staff	6	2	1	1	0
Helpfulness of the staff	7	1	1	1	0
Courtesy of the staff	7	1	2	0	0
General cleanliness	5	3	2	0	0
Condition of the facilities	4	3	3	0	0
Safety and security	5	3	1	0	0
Pool water temperature	4	5	1	0	0
Air temperature	5	3	1	0	1
Value for money	4	2	3	0	0
Overall experience	7	1	1	1	0
	54	24	16	3	1

MONTH	COMMENTS	ACTION
April	We belong to Scotland and have been on holiday here and have really enjoyed the facilities - find the staff really friendly	
	By ensuring we can use the changing cubicles - they were left with clothes in.	We would like to remind all our customers that belongings should be secured in the lockers provided.
May	Staff this morning were very polite and helpful, very clean - pleasant visit	
	Public swim times changed from 10.30am start to 11am without any publicity / updating of leaflets. Resulted in many families now waiting in reception	The change was implemented after Easter break in order to address our swimming lesson waiting list. We apologise for the inconvenience caused, a poster was displayed in reception at the time, but has now been removed.
	By not changing swimming lesson times and people turning up and having to wait because times have changed!	
	I think it is very dangerous with the potential of a fatality when the inflatable is left in the pool at 2.30 - a small child could be trapped underneath in addition to closing 1/2 of one side.	Staff have been made aware of this and if this situation arises in future then the inflatable will be put in from 2 to 3pm.
	All excellent	
June		

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OVERVIEW AND SCRUTINY ITEM, FOR CONSIDERATION PRIOR TO FULL COUNCIL

**RYEDALE
DISTRICT
COUNCIL**



REPORT TO: COUNCIL

DATE: 2 SEPTEMBER 2010

REPORT OF THE: CORPORATE DIRECTOR (s151)
PAUL CRESSWELL

TITLE OF REPORT: TREASURY MANAGEMENT ANNUAL REVIEW

WARDS AFFECTED: ALL

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 To report on the treasury management activities for the financial year 2009/10 in accordance with the Chartered Institute of Public Finance and Accountancy's (CIPFA) Code of Practice on Treasury Management (the Code).

2.0 RECOMMENDATION(S)

- 2.1 It is recommended that:
- (i) Members receive this report; and
 - (ii) The performance of the in-house and externally managed funds in 2009/10 be noted.

3.0 REASON FOR RECOMMENDATIONS

- 3.1 The Council has adopted the Code. A provision of the Code is that an annual review report must be made to the Full Council relating to the treasury activities of the previous year.

4.0 SIGNIFICANT RISKS

- 4.1 There are significant risks when investing public funds especially with unknown institutions. However, by the adoption of the CIPFA Code and a prudent investment strategy these are minimised. The employment of Treasury Advisors also helps reduce the risk.

REPORT

5.0 BACKGROUND AND INTRODUCTION

- 5.1 The CIPFA Code of Practice on Treasury Management 2009 was adopted by this Council on 22 February 2010 and this Council fully complies with its requirements.
- 5.2 The primary requirements of the Code are as follows:
1. Creation and maintenance of a Treasury Management Policy Statement which sets out the policies and objectives of the Council's treasury management activities.
 2. Creation and maintenance of Treasury Management Practices which set out the manner in which the Council will seek to achieve those policies and objectives.
 3. Receipt by the Full Council of an annual treasury management strategy report (including the annual investment strategy report) for the year ahead, a midyear review report and an annual review report for the previous year.
 4. Delegation by the Council of responsibilities for implementing and monitoring treasury management policies and practices and for the execution and administration of treasury management decisions.
 5. Delegation by the Council of the role of scrutiny of treasury management strategy and policies to a specific named body which in this Council is the Overview and Scrutiny Committee.

Treasury management in this context is defined as:

"The management of the local authority's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks."

- 5.3 The purpose of this report is to meet one of these requirements, namely the annual review report of treasury management activities, for the financial year 2009/10. This annual treasury report covers the following:
- The Council's treasury position as at 31 March 2010;
 - The strategy for 2009/10;
 - The economy and interest rates in 2009/10;
 - Compliance with treasury limits and prudential indicators;
 - Investment rates in 2009/10;
 - Investment outturn for 2009/10.

6.0 POLICY CONTEXT

- 6.1 The Council has adopted the CIPFA Code of Practice on Treasury Management in Local Authorities and this report complies with the requirements under this Code.

7.0 CONSULTATION

- 7.1 The Council uses the services of Sector Treasury Services Limited to provide treasury management information and advice.

8.0 REPORT DETAILS

Treasury Position as at 31 March 2010

- 8.1 The Council's investment position at the beginning and the end of the financial year

were as follows:

	31 March 2010 (£)	31 March 2009 (£)
Internally Managed	5,370,000	9,300,000
Externally Managed	5,000,000	5,000,000
Total	10,370,000	14,300,000

8.2 As at 31 March 2010 managed investments were lent out as follows:

	Internally Managed (£)	Externally Managed (£)
Temporary Investments	370,000	0
Fixed Term Deposits:		
Repayable within 1 month	0	0
Repayable 1 month to 3 months	1,000,000	1,500,000
Repayable 3 months to 6 months	2,500,000	2,500,000
Repayable 6 months to 12 months	1,500,000	0
Repayable 12 months to 24 months	0	1,000,000
Total	5,370,000	5,000,000

8.3 Investments held as at 31 March 2010 were placed with the following types of institution:

Type of Institution	Internally Managed (£)	Externally Managed (£)
UK Clearing Banks	4,370,000	1,000,000
Foreign Banks	1,000,000	2,500,000
Building Societies	0	1,500,000
Total	5,370,000	5,000,000

Strategy for 2009/10

8.4 The Treasury Management Strategy for 2009/10 was submitted to members in February 2009. At that time Bank Rate was 1.5% and Sector were anticipating that the downward trend would continue with further cuts forecast to 0.5% in Q1 2009, where it was anticipated to remain until Q2 2010. It was then expected to rise gradually for the next two years to a high of 4% in Q1 2012.

8.5 The investment strategy was therefore to avoid locking into longer term deals while investment rates were down at historically low levels. For cash flow generated balances the Council sought to utilise its business reserve account and short dated deposits in order to benefit from the compounding of interest.

The Economy and Interest Rates in 2009/10

8.6 During 2009/10 the Monetary Policy Committee (MPC) was focused on helping the economy to turn around from plunging into the deepest and longest recession the UK had experienced for many years.

8.7 Despite keeping Bank Rate at an unprecedented historical low of 0.5% all year, the MPC also had to resort to extreme measures in terms of pumping liquidity into the economy through quantitative easing by purchasing £200bn gilts and corporate bonds. This had the effect of boosting prices for gilts and corporate bonds and therefore bringing down yields, so also reducing borrowing costs for both the

corporate and public sector.

- 8.8 It was notable that the increase in money supply in the economy generated by this programme brought the credit crunch induced spread between Bank Rate and 3 month LIBID (investment rate that depositors could earn) down from 0.95% at the beginning of the financial year to zero during August 2009.
- 8.9 The dominant force in 2009/10 was on quarterly GDP growth figures. The recession bottomed out in quarter 1 of 2009. There was then major disappointment that the end of the recession failed to materialise in quarter 3 2009 but the fourth quarter of 2009 did then see economic growth return at +0.4%.
- 8.10 Inflation has not been a major concern of the MPC as it fell back below the 2% target level from June to November. However, it did spike upwards to reach 3.5% on the back of the unwinding of the temporary cut VAT to 15% on 1 January 2010. This was not seen as a cause for alarm as this spike was expected to fall out of the inflation index and inflation was forecast by the Bank of England to fall back under target by the end of 2010.

Compliance with Treasury Limits

- 8.11 During the financial year the Council operated within the treasury limits and Prudential Indicators set out in the Council's annual Treasury Management Strategy Statement.
- 8.12 The Council has no long-term borrowing and retains its status as a debt-free authority. There were no temporary borrowing transactions in the year.

Investment Rates in 2009/10

- 8.13 At the start of 2009/10, investment rates were enhanced by a substantial credit crunch induced margin. However, the Bank of England's quantitative easing operations had the desired effect of improving the supply of credit in the economy and so these margins were eliminated by halfway through the year. Consequently, investment rates fell markedly during the first half of the year. The summary below shows the movement of investment rates in 2009/10:

	Overnight	7 day LIBID	1 Month	3 Month	6 Month	1 Year
01 April 09	0.49%	0.55%	0.89%	1.50%	1.73%	1.93%
31 March 10	0.41%	0.41%	0.42%	0.52%	0.76%	1.19%
High	0.49%	0.55%	0.89%	1.50%	1.73%	1.93%
Low	0.38%	0.38%	0.38%	0.42%	0.61%	0.96%
Average	0.40%	0.42%	0.47%	0.73%	0.94%	1.29%
Spread	0.12%	0.17%	0.51%	1.09%	1.13%	0.97%
High Date	01/04/2009	01/04/2009	01/04/2009	01/04/2009	01/04/2009	01/04/2009
Low Date	09/09/2009	02/10/2009	18/09/2009	29/09/2009	29/09/2009	28/09/2009

Investment Outturn for 2009/10

- 8.14 The Council manages its investments with the institutions listed in the Council's approved lending list. The Council invests for a range of periods from overnight to 1 year, dependent on the Council's cash flows, its interest rate view, the interest rates on offer and durational limits set out in the approved investment strategy.
- 8.15 In addition to the internally managed investments the Council appoints a cash manager, Tradition (UK) Limited (Tradition). Tradition have an investment portfolio of £5m. The agreement between the Council and Tradition stipulates guidelines and

duration and other limits in order to contain and control risk.

- 8.16 During the year all investments were made in full compliance with this Council's treasury management policies and practices.
- 8.17 Pending the issuance of revised CIPFA and statutory investment guidance expected towards the end of the year, and in the light of continuing stresses on the world banking system, enhanced priority was given to security and liquidity in order to reduce counterparty risk to the maximum possible extent.
- 8.18 This Council viewed the markets expectation for Bank Rate as too low, and that short term rates would rise during the year. Investments were, accordingly, kept short, with a view to enabling returns to be compounded more frequently.
- 8.19 The following table shows the result of the investment strategy undertaken by the Council and the relative performance of the externally and internally managed funds and the 7-day benchmark:

	Average Investment (£)	Gross Rate of Return	Net Rate of Return	Benchmark Return
Internally Managed:				
Temporary Investments	1,440,236	0.55%	n/a	n/a
Fixed Term Deposits	1,250,000	2.30%	n/a	n/a
Externally Managed	1,250,000	2.32%	2.26%	0.42%

- 8.20 The interest received by the Council from investments and loans in 2009/10 totalled £266k; this compares to an original estimate of £355k.
- 8.21 The credit policy adopted in the original Treasury Management Strategy report and Annual Investment Strategy for 2009/10 approved by the Policy and Resources Committee on 5 February 2009 was subject to revision during the year after the Council agreed to adopt a more robust credit rating system to assess counterparties.
- 8.22 No institutions in which investments were made during 2009/10 had any difficulty in repaying investments and interest in full during the year.

9.0 IMPLICATIONS

- 9.1 The following implications have been identified:
- a) Financial
The results of the investment strategy affect the funding of the capital programme. The investment income return for 2009/10 was £89k lower than anticipated.
 - b) Legal
There are no additional legal implications within this report.
 - c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)
There are no additional implications within this report.

**Paul Cresswell
Corporate Director (s151)**

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Background Papers:

None

Background Papers are available for inspection at:

N/a