

## OVERVIEW AND SCRUTINY COMMITTEE

Thursday 3 October 2013 at 6.30 pm

Council Chamber, Ryedale House, Malton

### Agenda

1 **Emergency Evacuation Procedure.**

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

2 **Apologies for absence**

3 **Minutes of the meeting held on 27 June 2013**

(Pages 3 - 8)

4 **Urgent Business**

To receive notice of any urgent business which the Chairman considers should be dealt with at the meeting as a matter of urgency by virtue of Section 100B(4)(b) of the Local Government Act 1972.

5 **Declarations of Interest**

Members to indicate whether they will be declaring any interests under the Code of Conduct.

Members making a declaration of interest at a meeting of a Committee or Council are required to disclose the existence and nature of that interest. This requirement is not discharged by merely declaring a personal interest without further explanation.

6 **Customer Complaints Received quarter 1 (2013/14)**

(Pages 9 - 12)

7 **Internal Audit - Q1 Monitoring Report**

(Pages 13 - 18)

8 **Annual Governance Statement Action Plan**

(Pages 19 - 22)

- 9 **Corporate Risk Register** (Pages 23 - 40)
- 10 **Final Report - Scrutiny Review of Member roles on outside bodies and as Member Champions** (Pages 41 - 66)
- 11 **Topic for the next Scrutiny Review** (Pages 67 - 70)
- 12 **Decisions from other Committees**  
Commissioning Board held on 19 September 2013  
Policy and Resources Committee held on 26 September 2013 – To follow.
- 13 **Any other business that the Chairman decides is urgent.**

## Overview and Scrutiny Committee

---

Held at Council Chamber, Ryedale House, Malton  
on Thursday 27 June 2013

### Present

---

Councillors P J Andrews, Collinson, Richardson, Mrs Shields (Vice-Chairman) and Wainwright (Chairman)

### In Attendance

---

Audrey Adnitt, Sarah Anderson (Deloittes), Jos Holmes, Peter Johnson, Alison Newham (Veritau), Clare Slater and Faye Snowden

### Minutes

---

1 **Apologies for absence**

Councillor Raper  
Councillor Hicks

2 **Minutes of the meeting held on 21 February 2013**

**Decision**

That the minutes of the meeting of the Overview and Scrutiny Committee held on the 21 February 2013 be approved and signed by the Chairman as a correct record.

3 **Urgent Business**

There were no items of urgent business.

4 **Declarations of Interest**

None.

5 **Customer Complaints received quarter 4 (2012/13)**

Considered – Report of the Business Support Manager.

**Decision**

That the report be received.

The Ombudsman will not be sending the annual letter this year but is in the process of reviewing how they report their work with each authority. The complaints received by the Ombudsman regarding RDC:

4 Complaints received 2012/13:

2x Corporate & other services - decision made not to initiate an investigation

1x planning & development - discontinue investigation

1 x planning and development - not in jurisdiction and discretion not exercised

**6 Deloitte Planning Report 2012 - 13**

Considered – External Audit Planning Report from Deloitte.

**Decision**

That the report be received.

**7 Deloitte Briefing on Audit Matters**

Considered – Report of Briefing on Audit Matters from Deloitte

**Decision**

That the report be received.

**8 External Audit Quarterly Report**

Considered – External Audit Progress Report from Deloitte

**Decision**

That the report be received.

**9 Internal Audit Plan 2013 - 14**

Considered - Report of Internal Audit Plan 2013/14 and Terms of Reference from Deloitte.

**Decision**

That Members note the position with the Terms of Reference and endorse the Internal Audit Plan for 2013/14.

10 **Annual Report of the Head of Internal Audit**

Considered – Report of the Head of Internal Audit

**Decision**

That the results of audit and fraud work undertaken in 2012/13 be noted and that the opinion of the Head of Internal Audit on the adequacy and effectiveness of the Council's Internal control environment be accepted.

11 **Review of the Effectiveness of Internal Audit**

Considered – Report of the Corporate Director (s151).

**Decision**

That the results of the review of the effectiveness of the Council's internal audit arrangements be noted.

12 **Annual Governance Statement**

Considered – Report of the Corporate Director (s151).

**Decision**

That the Annual Governance Statement for inclusion in the Statement of Accounts be approved.

13 **Treasury Management Annual Report 2012/13**

Considered – Report of the Corporate Director (s151).

**Decision**

That the Annual Treasury Management Report for 2012/13 be noted and the actual 2012/13 prudential and treasury indicators in the report be approved.

14 **Community Safety Plan**

Considered – Report of the Head of Economy and Infrastructure.

**Decision**

That the report be received.

15 **The Councils Priorities 2013 - 17**

Considered – Report of the Chief Executive.

**Decision**

That the progress made by the Council in delivering its priorities in 2012/13 be noted and the challenges to be faced in 2013/14 be agreed.

That the Aims and Strategic Objectives of the Council Plan for 2013/17 be supported.

16 **Progress on Scrutiny Review Recommendations**

Considered – Report of the Council Solicitor.

A request was made that the topic of 'the procedures used by officers in making recommendation to planning committees' should be considered by the committee for a future review. Advice will be sought on this matter in relation to the role and responsibilities of the O & S Committee.

**Decision**

That the progress with the current review be noted.

That the progress report for previous scrutiny review recommendations be noted.

That, the following topics be considered for the next scrutiny review for which officers will provide a scoping report to a future meeting of the Committee.

- Localism – are we making best use of the opportunities the Act presents to Ryedale and the role of Council as enabler?  
- Empty properties and how these could be used to improve levels of homelessness in Ryedale.

17 **Attendance at Policy Committees**

Considered – Report of the Council Solicitor.

**Decision**

That the rota for attendance at Policy Committees be agreed.

18 **Decisions from other Committees**

The minutes of the Commissioning Board meeting held on the 6 June 2013 and the Policy and Resources Committee held on 20 June 2013 were presented.

**Decision**

That the minutes be received.

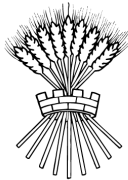
19 **Any other business that the Chairman decides is urgent.**

There were no items of urgent business.

The meeting closed at 08.35 pm

This page is intentionally left blank





---

**REPORT TO:** OVERVIEW AND SCRUTINY COMMITTEE

**DATE:** 3 OCTOBER 2013

**REPORT OF THE:** BUSINESS SUPPORT MANAGER  
ANGELA JONES

**TITLE OF REPORT:** CUSTOMER COMPLAINTS RECEIVED QUARTER 1  
(2013/14)

**WARDS AFFECTED:** ALL

---

## EXECUTIVE SUMMARY

### 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 2013.

### 2.0 RECOMMENDATION

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

### 3.0 REASON FOR RECOMMENDATION

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

### 4.0 REPORT DETAILS

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

**Angela Jones**  
**Business Support Manager**

**Author:** Angela Jones, Business Support Manager  
**Telephone No:** 01653 600666 ext: 220  
**E-Mail Address:** angela.wood@ryedale.gov.uk

**Background Papers:**  
RDC Complaints Procedure

**Background Papers are available for inspection at:**  
[http://www.ryedale.gov.uk/council\\_and\\_democracy/corporate\\_complaints.aspx](http://www.ryedale.gov.uk/council_and_democracy/corporate_complaints.aspx)

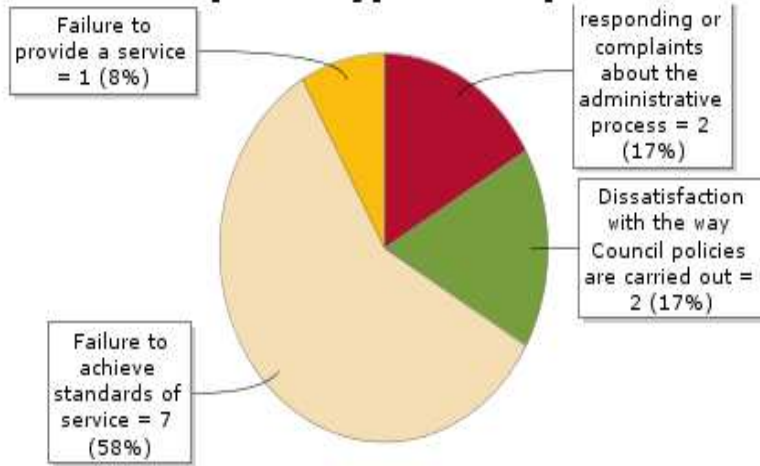
This page is intentionally left blank

# Complaints Q1 2013-14

Generated on: 05 September 2013

Page 11

## Complaint Type Description



## Complaints by Service Unit Q1 2013-14



Service Unit	Summary of Complaint	Complaint Type	Remedy	Ward	Opened Date	Closed Date	Total
Business Support (BS)	Opening times at Ryedale House	Failure to achieve standards of service	Letter of explanation sent to customer	Cropton	17-Apr-2013	18-Apr-2013	3
Business Support (BS)	Withdrawal from outer offices	Failure to provide a service	Letter of explanation sent	Pickering East	10-Jun-2013	10-Jun-2013	
Business Support (BS)	Unclear where to buy parking permits	Failure to achieve standards of service	Letter of apology and information sent to customer	Kirkbymoorside	25-Jun-2013	01-Jul-2013	
Development Management (DM)	Supporting Planning evidence not provided to residents	Dissatisfaction with the way Council policies are carried out	Email letter of explanation sent to customer	Ampleforth	03-Apr-2013	05-Apr-2013	3
Development	Lack of response to	Failure to achieve	Email letter of	Derwent	29-Apr-2013	20-May-2013	

Service Unit	Summary of Complaint	Complaint Type	Remedy	Ward	Opened Date	Closed Date	Total
Management (DM)	Planning discharge conditions	standards of service	explanation & apology sent to customer				
Development Management (DM)	Outcome of Planning Decision	Dissatisfaction with the way Council policies are carried out	Letter of explanation sent to customer	Pickering East	24-Jun-2013	04-Jul-2013	
Human Resources (HR)	Ex employee dissatisfied with communication	Delays in responding or complaints about the administrative process	Letter of explanation sent to staff member	Malton	17-May-2013	23-May-2013	1
Housing (HS)	Time taken to provide property valuation	Delays in responding or complaints about the administrative process	letter of explanation & apology sent to customer	Norton East	25-Apr-2013	03-May-2013	2
Housing (HS)	Lack of response to grant application	Failure to achieve standards of service	Letter of explanation & apology sent to customer	Amotherby	05-Jun-2013	11-Jun-2013	
Streetscene (SS)	Recycling not collected due to wrong box used	Failure to achieve standards of service	email letter of explanation & apology sent to customer	Sinnington	02-Apr-2013	08-Apr-2013	3
Streetscene (SS)	Refuse collection information bin tag not provided	Failure to achieve standards of service	Bin tag sent & phone call to customer	Pickering East	03-Apr-2013	08-Apr-2013	
Streetscene (SS)	Recycling not collected	Failure to achieve standards of service	Phone call to customer to apologise and arrangements in place to collect recycling	Derwent	16-Apr-2013	18-Apr-2013	
Total							12



---

<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>3 OCTOBER 2013</b>
<b>REPORT OF THE:</b>	<b>CORPORATE DIRECTOR (s151) PAUL CRESSWELL</b>
<b>TITLE OF REPORT:</b>	<b>INTERNAL AUDIT – Q1 MONITORING REPORT</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

---

## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

1.1 The report summarises the outcome of internal audit work undertaken between April and August 2013.

### **2.0 RECOMMENDATION**

2.1 It is recommended that the committee note the results of audit and fraud work undertaken in 2013/14 to date.

### **3.0 REASON FOR RECOMMENDATION**

3.1 To enable the committee to fulfil its responsibility for considering the outcome of internal audit work.

### **4.0 SIGNIFICANT RISKS**

4.1 The Council will fail to comply with proper practice requirements for internal audit if the results of audit work are not considered by an appropriate committee.

### **5.0 POLICY CONTEXT AND CONSULTATION**

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

### **6.0 REPORT DETAILS**

6.1 The committee endorsed the internal audit plan in April 2013. The purpose of this report is to inform Members of the progress made to date in delivering the plan, and any developments likely to have an impact on the plan throughout the remainder of the financial year.

6.2 Annex A includes a summary of the audit opinions and findings for the individual

audits completed so far. No major issues have been identified to date.

## **7.0 IMPLICATIONS**

7.1 The following implications have been identified:

- a) Financial  
None
- b) Legal  
None
- c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)  
None

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

**Author:** Alison Newham, Audit Manager.  
Veritau Limited  
**Telephone No:** 01653 600666  
**E-Mail Address:** [Alison.Newham@veritau.co.uk](mailto:Alison.Newham@veritau.co.uk)

**Background Papers:**  
None

**AUDITS COMPLETED AND REPORTS ISSUED**

The following categories of opinion are used for audit reports.

<b>Opinion</b>	<b>Level of Assurance</b>
High Assurance	Overall very good management of risk. An effective control environment appears to be in operation.
Substantial	Overall good management of risk with few weaknesses identified. An effective control environment is in operation but there is scope for further improvement in the areas identified.
Moderate	Overall, satisfactory management of risk with a number of weaknesses identified. An acceptable control environment is in operation but there are a number of improvements that could be made.
Limited	Overall, poor management of risk with significant control weaknesses in key areas and major improvements required before an effective control environment will be in operation.
No Assurance	Overall, there is a fundamental failure in control and risks are not being effectively managed. A number of key areas require substantial improvement to protect the system from error and abuse.

Actions to address issues are agreed with managers where weaknesses in control are identified. The following categories are used to classify agreed actions.

<b><u>Priority</u></b>	<b><u>Long Definition</u></b>	<b><u>Short Definition – for use in Audit Reports</u></b>
1 (High)	<p>Action considered both critical and mandatory to protect the organisation from exposure to high or catastrophic risks. For example, death or injury of staff or customers, significant financial loss or major disruption to service continuity.</p> <p>These are fundamental matters relating to factors critical to the success of the area under review or which may impact upon the organisation as a whole. Failure to implement such recommendations may result in material loss or error or have an adverse impact upon the organisation's reputation.</p> <p>Such issues may require the input at Corporate Director/Assistant Director level and may result in significant and immediate action to address the issues raised.</p>	<p>A fundamental system weakness, which presents unacceptable risk to the system objectives and requires urgent attention by management.</p>
2	<p>Action considered necessary to improve or implement system controls so as to ensure an effective control environment exists to minimise exposure to significant risks such as financial or other loss.</p> <p>Such issues may require the input at Head of Service</p>	<p>A significant system weakness, whose impact or frequency presents risks to the system objectives, and which needs to be addressed by management.</p>



**Priority**

**Long Definition**

**Short Definition – for use in Audit Reports**

	or senior management level and may result in significantly revised or new controls.	
3	<p>Action considered prudent to improve existing system controls to provide an effective control environment in order to minimise exposure to significant risks such as financial or other loss.</p> <p>Such issues are usually matters that can be implemented through line management action and may result in efficiencies.</p>	<p>The system objectives are not exposed to significant risk, but the issue merits attention by management.</p>

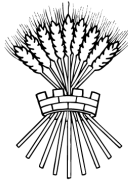
**Draft Reports Issued**

One internal audit report is currently in draft. This report is with management for consideration and comments. Once the report has been finalised, details of the key findings and issues will be reported to this committee.

### Final Reports Issued

The table below shows audit reports finalised to date for 2013/14. In all cases the recommendations made have been accepted by management, and will be followed up later in the year as part of the follow up process.

Audit	Date Of Final Report	Opinion	Number of Agreed Actions		Work done / significant weaknesses / issues identified
			Total	Priority 1	
Health and Safety	02/07/13	Substantial Assurance	3	0	A review of the arrangements in place for the facilitation and co-ordinating of all aspects of Health and Safety. Following the appointment of a dedicated officer there has been much improvement from the previous audit report, and a small number of issues around administration and maintaining records were identified.
Elections	16/07/13	High Assurance	0	0	Overall the controls in place for administering Elections were sound. No issues were identified.
Fleet Management	08/08/13	High Assurance	5	0	An audit to test the soundness of systems associated with Fleet Management. A number of minor issues were discussed, specifically in relation to policies and maintenance. Vehicles are all fitted with tracker devices, and usage and mileage checks will be carried out for to improve monitoring arrangements.



---

<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>3 OCTOBER 2013</b>
<b>REPORT OF THE:</b>	<b>CORPORATE DIRECTOR (s151) PAUL CRESSWELL</b>
<b>TITLE OF REPORT:</b>	<b>ANNUAL GOVERNANCE STATEMENT ACTION PLAN</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

---

## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

1.1 This is a report to committee to inform members on progress with the actions identified in the 2012/13 AGS action plan.

### **2.0 RECOMMENDATION**

2.1 It is recommended that the progress with identified actions in the 2012/13 AGS action plan for implementation in 2013/14 be noted.

### **3.0 REASON FOR RECOMMENDATION**

3.1 Monitoring progress with identified actions in the AGS is good practice, and it demonstrates that the Audit Committee is properly exercising its role.

### **4.0 SIGNIFICANT RISKS**

4.1 There are no significant risks.

## **REPORT**

### **5.0 BACKGROUND AND INTRODUCTION**

5.1 Regulation 4 of the Accounts and Audit (Amendment) (England) Regulations 2006 requires audited bodies to conduct a review at least once a year on the effectiveness of its system of internal control and publish an Annual Governance Statement (AGS) each year with the Statement of Accounts.

5.2 The document has then to be signed by the Chief Executive and the Leader (or equivalent) of the Council. This emphasises that the document is about all corporate controls and is not confined to financial issues.

5.3 The Council has adopted the CIPFA framework for producing the AGS. Part of this framework is for the Council's Audit Committee to consider the content of the AGS

including any action plans to address identified 'significant' internal control issues.

5.4 It is for Members to review the progress of implementation of the actions identified in the Action Plan of the 2012/13 Annual Governance Statement (AGS).

5.5 This is not required under The Accounts & Audit (Amendment) (England) Regulations 2006; however it is good practice for the Committee to monitor progress of the actions as part of their Governance responsibilities.

## **6.0 POLICY CONTEXT**

6.1 There is no impact upon specific policies, although as the AGS is an important corporate document demonstrating the Council's commitment to an open and transparent philosophy in all its activities.

## **7.0 CONSULTATION**

7.1 No external consultation has been carried, as this is an internal report covering the progress with actions identified in the AGS.

## **8.0 REPORT DETAILS**

8.1 The purpose of the AGS is to provide a continuous review of the effectiveness of the organisation's internal control and risk management systems so as to give assurance on their effectiveness.

8.2 The AGS should not be seen as a task at a particular point in time. Therefore, for the process to add value to the Council, assurances on the effectiveness of controls over key risks should be obtained throughout the year. This allows remedial action to take place at the earliest opportunity, thereby improving the internal control framework.

8.3 There is also a need to identify and resolve weaknesses by the production of an action plan. This report presents a review of the implementation of actions proposed in the Action Plan associated with the 2012/13 AGS.

8.4 The Action Plan detailed in annex A, sets out the current position with comments on the actions proposed in the plan.

8.5 The AGS for 2013/14 is approved as part of the Statement of Accounts for the Council and monitoring will be as required during the year.

## **9.0 IMPLICATIONS**

9.1 The following implications have been identified:

a) Financial  
None

b) Legal  
None

c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)  
None

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

**Background Papers:**  
None

**Background Papers are available for inspection at:**  
N/a

**ANNUAL GOVERNANCE STATEMENT 2012/13**  
**ACTION PLAN for implementation in 2013/14**

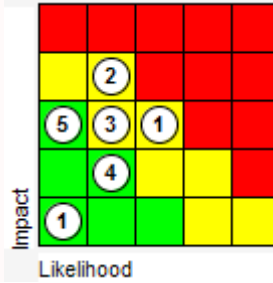
STATUS	CONTROL ISSUE	ACTION PROPOSED	RESPONSIBILITY	TARGET DATE	CURRENT POSITION & COMMENTS
Brought Forward	Risk of compromise and weaknesses in operational systems as a consequence of continuing reductions in staffing as Government funding cuts made.	Where changes in staffing occur, that changes in operating arrangements are reviewed prior to reducing the controls.  Internal audit will be included in working groups reviewing operating systems and arrangements, including commissioning, partnership arrangements etc.	Corporate Director (s151)	Continuing	This will be a continuing issue in 2013/2014
Brought Forward	Procurement Risk as the Council undertakes two significant OJEU procurements, Insurance (2013) and Leisure Management (2014)	The Authority is part of the North Yorkshire Procurement Partnership and will ensure advice is taken supplemented by service specific advice for both procurements.	Corporate Director (s151)	September 2014	Planning work is underway on both projects with budgets for external support identified to assist in the process.

# Corporate Risk Register

Generated on: 24 September 2013

## Corporate Risk Register 2013-17

### Current Risk Matrix


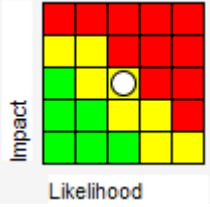
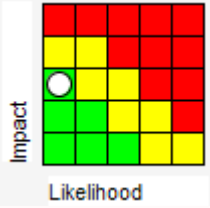
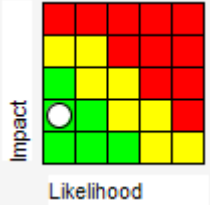


Page 23

Status	Code	Title			
	CRR 01	Significant Partnerships			CRR 09 Failure to influence the proposed changes to the national framework for the resourcing of Ryedale District Council.
	CRR 02	Capital Programme			CRR 11 Council Assets
	CRR 03	Staff Management			CRR 12 Customer Expectations
	CRR 04	External Funding			CRR 13 Fraud and Corruption
	CRR 05	Affordable Housing			CRR 14 Data Quality
	CRR 06	Procurement			CRR 15 Delivering Efficiencies
	CRR 07	Health and Safety			CRR 16 Data Protection
	CRR 08	Emergency Planning and Business Continuity Planning			CRR 17 Regulation and Investigatory Powers Act


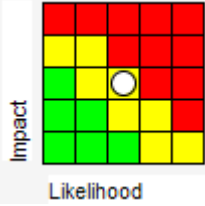
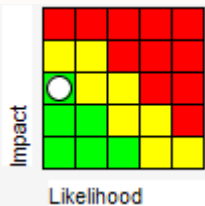
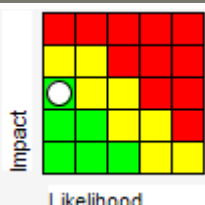
Key	
Risk Status	
	OK
	Warning
	Alert
	Unknown

Agenda Item 9


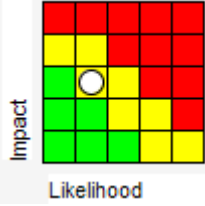
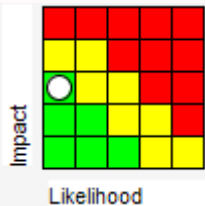
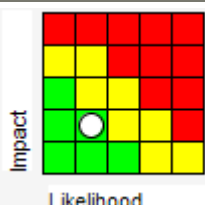
CRR 01 Significant Partnerships					
Risk Code	Risk Title	Description	Status		
CRR 01	Significant Partnerships	That the Council fails to manage its partnerships effectively			
<b>Consequences</b>		Financial cost to the Council through partnership failure, breach of legislation by partnership with consequences for Council and its reputation, levels of service satisfaction and quality fall below acceptable levels.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		Original Impact	C	Original Likelihood	3
			Medium		Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		Current Impact	C	Current Likelihood	1
			Medium		Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		Target Impact	B	Target Likelihood	1
			Minor		Very Low
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>	
23-Sep-2013 An internal audit of the Councils partnerships is currently being undertaken. This includes an assessment of the significance of any partnerships			24-Sep-2011	Clare Slater	




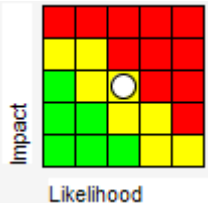
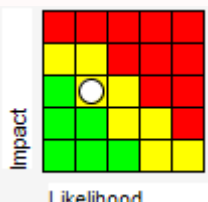
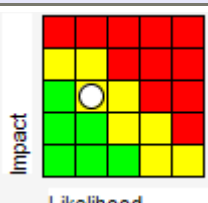
CRR 02 Capital Programme

Risk Code	Risk Title	Description		Status	
CRR 02	Capital Programme	Failure to deliver Council priorities, due to poor management of the capital programme.			
<b>Consequences</b>		Failure to deliver the Council priorities			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	<b>Original Likelihood</b>	3
			Medium		Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	<b>Current Likelihood</b>	1
			Medium		Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	C	<b>Target Likelihood</b>	1
			Medium		Very Low
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2013 Progress monitoring embedded in the work of Resources Working Party, who receive bi-monthly reports with highlight reporting on individual projects				24-Sep-2011	<del>Trevor Anderson</del> ; Paul Cresswell


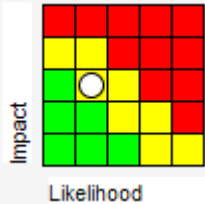
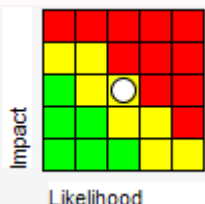
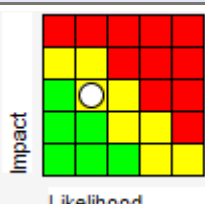
CRR 03 Staff Management


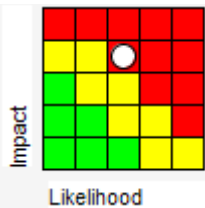
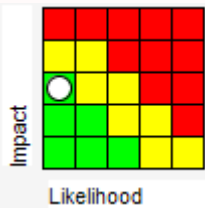
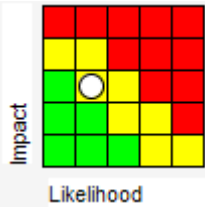
Risk Code	Risk Title	Description	Status		
CRR 03	Staff Management	Failure to effectively manage and develop our workforce assets			
<b>Consequences</b>		Decline in employee performance and delivery			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	<b>Original Likelihood</b>	2
			Medium		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	<b>Current Likelihood</b>	1
			Medium		Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	<b>Target Likelihood</b>	2
			Minor		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2013 Absence management working effectively. Ryedale was the best performing authority in North Yorkshire 2011/12, however there have been some incidences of longer term absence which will impact on the overall performance for the current year. See <a href="#">Delivering the Council Plan</a> for further detail				29-Sep-2011	<del>Barrie May; Louise Sandall;</del> Clare Slater


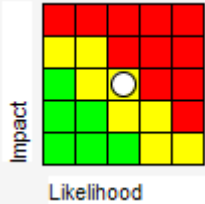
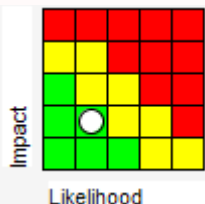
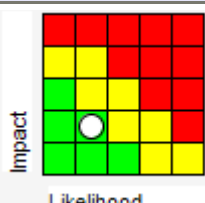
CRR 04 External Funding

Risk Code	Risk Title	Description	Status	
CRR 04	External Funding	Failure to attract external funding to support the priorities of the Council		
<b>Consequences</b>		Failure to deliver Council priorities requiring major financial investment. Increased costs to RDC. Failure to regenerate the local economy. Uncompetitive service delivery. Withdrawal or failure of a service. Inability to deliver new services		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		<b>Original Impact</b>	C	3
			Medium	<b>Original Likelihood</b>
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		<b>Current Impact</b>	C	2
			Medium	<b>Current Likelihood</b>
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		<b>Target Impact</b>	C	2
			Medium	<b>Target Likelihood</b>
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2013 Strategic approach to new funding opportunities being developed in response to legislation and Community Infrastructure Levy (CIL). Linked to the development of the Local Development Framework and LEP 5 year Growth Strategy			24-Sep-2011	Trevor Anderson; Paul Cresswell


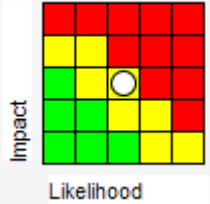
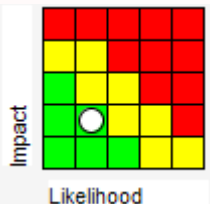
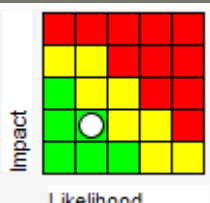
CRR 05 Affordable Housing

Risk Code	Risk Title	Description	Status					
CRR 05	Affordable Housing	Failure to meet identified housing need in Ryedale						
<b>Consequences</b>		Homelessness increases with resultant service costs. Unbalanced housing market. Negative impact on the local economy. Lack of key workers to support the needs of the community. Local people forced to move away from Ryedale.						
<b>Original Matrix</b>		<b>Original Rating Description</b>						
		<b>Original Impact</b>	<table border="1"> <tr> <td data-bbox="1140 437 1476 475">C</td> <td data-bbox="1480 437 1787 475" rowspan="2"><b>Original Likelihood</b></td> <td data-bbox="1792 437 2145 475">2</td> </tr> <tr> <td data-bbox="1140 475 1476 654">Medium</td> <td data-bbox="1792 475 2145 654">Not Likely</td> </tr> </table>	C	<b>Original Likelihood</b>	2	Medium	Not Likely
C	<b>Original Likelihood</b>	2						
Medium		Not Likely						
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>						
		<b>Current Impact</b>	<table border="1"> <tr> <td data-bbox="1140 695 1476 734">C</td> <td data-bbox="1480 695 1787 734" rowspan="2"><b>Current Likelihood</b></td> <td data-bbox="1792 695 2145 734">3</td> </tr> <tr> <td data-bbox="1140 734 1476 912">Medium</td> <td data-bbox="1792 734 2145 912">Likely</td> </tr> </table>	C	<b>Current Likelihood</b>	3	Medium	Likely
C	<b>Current Likelihood</b>	3						
Medium		Likely						
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>						
		<b>Target Impact</b>	<table border="1"> <tr> <td data-bbox="1140 954 1476 992">C</td> <td data-bbox="1480 954 1787 992" rowspan="2"><b>Target Likelihood</b></td> <td data-bbox="1792 954 2145 992">2</td> </tr> <tr> <td data-bbox="1140 992 1476 1171">Medium</td> <td data-bbox="1792 992 2145 1171">Not Likely</td> </tr> </table>	C	<b>Target Likelihood</b>	2	Medium	Not Likely
C	<b>Target Likelihood</b>	2						
Medium		Not Likely						
<b>Latest Progress</b>			<b>Last Review Date</b>					
23-Sep-2013 Delivery of new affordable homes for 2012/13 was 95 affordable homes see <a href="#">Delivering the Council Plan</a> report for further detail.			<b>SMT Lead</b> 24-Sep-2012 Gary Housden; Julian Rudd					


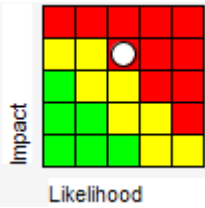
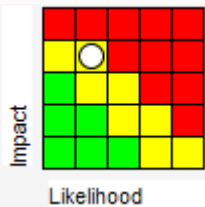
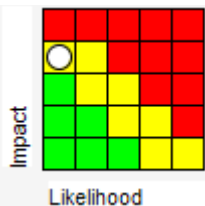
Risk Code	Risk Title	Description	Status
CRR 06	Procurement	Failure to procure in line with legislation and in line with best value principles	
<b>Consequences</b>		Failure to make efficiency savings. Priority projects not delivered to budget. Adverse external inspection. Breach of legislation eg. equalities or health and safety. Damage to RDC reputation.	
<b>Original Matrix</b>		<b>Original Rating Description</b>	
	<b>Original Impact</b>	D	3
		Major	<b>Original Likelihood</b>
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>	
	<b>Current Impact</b>	C	1
		Medium	<b>Current Likelihood</b>
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>	
	<b>Target Impact</b>	C	2
		Medium	<b>Target Likelihood</b>
<b>Latest Progress</b>			<b>Last Review Date</b>
23-Sep-2013 Procurement Partnership established and the service received by the Council is working well with savings being achieved in line with efficiency targets. Significant procurement exercise underway in relation to the Leisure Contract.			24-Sep-2011
			<b>SMT Lead</b>
			Phil Long

Risk Code	Risk Title	Description		Status
CRR 07	Health and Safety	Failure to ensure appropriate systems are in place to manage Health and safety		
<b>Consequences</b>		Failure to meet legislative requirements, prosecution and financial penalties incurred as a result of incident.		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		<b>Original Impact</b>	C	3
			Medium	<b>Original Likelihood</b>
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		<b>Current Impact</b>	B	2
			Minor	<b>Current Likelihood</b>
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		<b>Target Impact</b>	B	2
			Minor	<b>Target Likelihood</b>
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2013 Member and officer training undertaken. Health and Safety policy framework in place. Ownership across the organisation, roles and responsibilities clarified at all levels of management			24-Sep-2011	<del>Barrie May</del> ; Clare Slater


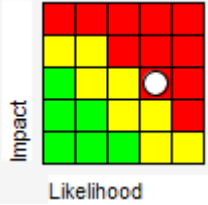
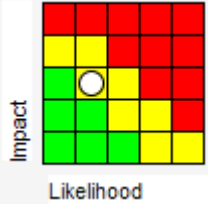
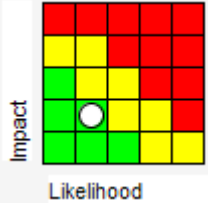
CRR 08 Emergency Planning and Business Continuity Planning

Risk Code	Risk Title	Description	Status	
CRR 08	Emergency Planning and Business Continuity Planning	Failure to produce effective, comprehensive and tested plan.		
<b>Consequences</b>		Failure in continuity of service delivery. Negative impact on the most vulnerable on our communities. Damage to RDC reputation. Financial penalties and litigation		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		<b>Original Impact</b>	C	3
			Medium	Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		<b>Current Impact</b>	B	2
			Minor	Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		<b>Target Impact</b>	B	2
			Minor	Not Likely
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2013 Emergency planning arrangements in place and tested. Training undertaken for all staff. Comprehensive Business Continuity Planning in place and fully tested.			24-Sep-2011	Paul Cresswell


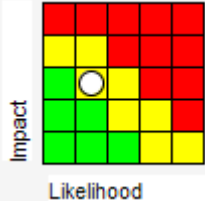
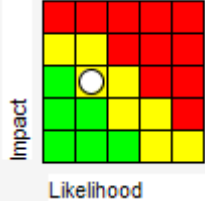
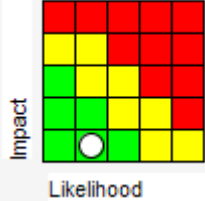
CRR 09 Failure to influence the proposed changes to the national framework for the resourcing of Ryedale District Council.

Risk Code	Risk Title	Description			Status
CRR 09	Failure to influence the proposed changes to the national framework for the resourcing of Ryedale District Council.				
<b>Consequences</b>		Adverse financial effect on the Council which could impact on Ryedale residents or require cuts to RDC services.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	D	<b>Original Likelihood</b>	3
			Major		Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	D	<b>Current Likelihood</b>	2
			Major		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	D	<b>Target Likelihood</b>	1
			Major		Very Low
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2013 Significant changes are being proposed by the government to materially affect the financing and responsibilities of RDC. Officers working at national level through relevant treasurer societies and networks. Joint discussions underway within North Yorkshire and the region. Responses submitted to all consultations.				23-Sep-2011	Paul Cresswell




Risk Code	Risk Title	Description	Status
CRR 11	Council Assets	Ensure the Council has proper plan to ensure maintenance and fitness for purpose of the Council assets	
<b>Consequences</b>			
<b>Original Matrix</b>		<b>Original Rating Description</b>	
	<b>Original Impact</b>	C	4
		Medium	<b>Original Likelihood</b>
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>	
	<b>Current Impact</b>	C	2
		Medium	<b>Current Likelihood</b>
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>	
	<b>Target Impact</b>	B	2
		Minor	<b>Target Likelihood</b>
<b>Latest Progress</b>			<b>Last Review Date</b>
23-Sep-2013 Major investment has resulted in improved facilities with significant investment into energy efficiency measures to reduce Co2 emissions			24-Sep-2011
			<b>SMT Lead</b>
			Phil Long


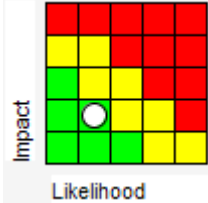
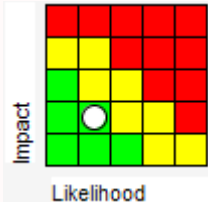
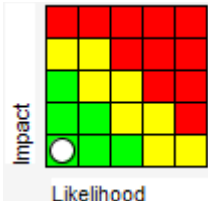
CRR 12 Customer Expectations

Risk Code	Risk Title	Description		Status	
CRR 12	Customer Expectations	Failure to meet customer service standards and meet customer expectations.			
<b>Consequences</b>		Include CR02			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	<b>Original Likelihood</b>	2
			Medium		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	<b>Current Likelihood</b>	2
			Medium		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	A	<b>Target Likelihood</b>	2
			Low		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2013 Managing customer expectations through media and communications in relation to funding challenges facing the public sector.				28-Sep-2011	Paul Cresswell


CRR 13 Fraud and Corruption

Risk Code	Risk Title	Description			Status
CRR 13	Fraud and Corruption	Failure to ensure Council has proper procedures and policies for the prevention and detection of fraud.			
<b>Consequences</b>		Financial loss to the Council, damage to our reputation and credibility			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	B	<b>Original Likelihood</b>	2
			Minor		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	A	<b>Current Likelihood</b>	1
			Low		Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	A	<b>Target Likelihood</b>	1
			Low		Very Low
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2013 Arrangement with Veritau working well to deliver fraud and corruption service for Housing Benefit, currency of fraud and corruption policy maintained and training provided to managers				24-Sep-2011	Paul Cresswell


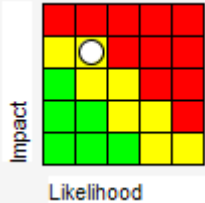
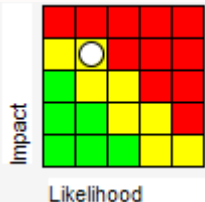
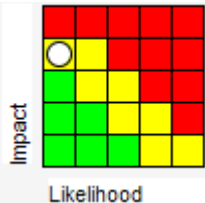
CRR 14 Data Quality

Risk Code	Risk Title	Description			Status	
CRR 14	Data Quality	The Council recognises the importance of data quality as we need reliable, accurate and timely performance information with which to manage services, inform users and account for our performance				
<b>Consequences</b>						
<b>Original Matrix</b>			<b>Original Rating Description</b>			
			<b>Original Impact</b>	B	<b>Original Likelihood</b>	2
				Minor		Not Likely
<b>Current Risk Matrix</b>			<b>Current Rating Description</b>			
			<b>Current Impact</b>	B	<b>Current Likelihood</b>	2
				Minor		Not Likely
<b>Target Risk Matrix</b>			<b>Target Rating Description</b>			
			<b>Target Impact</b>	A	<b>Target Likelihood</b>	1
				Low		Very Low
<b>Latest Progress</b>					<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2013 Data Quality Strategy in place and publicised to all staff. Audit of Data Quality undertaken with positive outcome					28-Sep-2011	Clare Slater


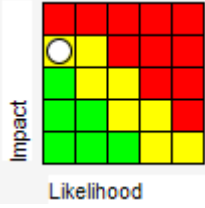
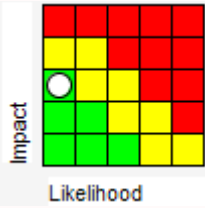
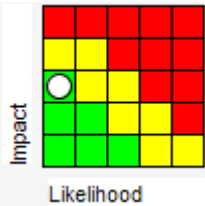
CRR 15 Delivering Efficiencies

Risk Code	Risk Title	Description		Status	
CRR 15	Delivering Efficiencies	Council fails to meet efficiency targets which necessitates cuts to other services			
<b>Consequences</b>		Cuts to frontline services, reputational damage to the Council, possible poor outcome of external inspection.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	D	3	
			Major	<b>Original Likelihood</b>	Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	B	2	
			Minor	<b>Current Likelihood</b>	Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	2	
			Minor	<b>Target Likelihood</b>	Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2013 Successful delivery of One-11 programme achieving savings of over £1 million. Going for Gold programme underway with significant efficiencies achieved to contribute to the target saving of £700k. A balanced budget agreed for 2013/14.Preparation underway of budget strategy for 2014/15				24-Sep-2011	Paul Cresswell

CRR 16 Data Protection

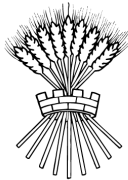
Risk Code	Risk Title	Description			Status
CRR 16	Data Protection	To ensure the Council meets all of its statutory obligations relating to the protection of personal and confidential data.			
<b>Consequences</b>		Legal action resulting in large fines (£100k-£500k). Reputational damage and adverse publicity.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	D	<b>Original Likelihood</b>	2
			Major		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	D	<b>Current Likelihood</b>	2
			Major		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	D	<b>Target Likelihood</b>	1
			Major		Very Low
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2013 Data Protection added to the Corporate Risk Register in April 2012.  A range of data protection policies are available to all staff on the intranet, in addition to regular updates based on current cases. <a href="http://intranet.ryedale.gov.uk/Default.aspx?page=6859">http://intranet.ryedale.gov.uk/Default.aspx?page=6859</a>				23-Apr-2012	Phil Long

CRR 17 Regulation and Investigatory Powers Act

Risk Code	Risk Title	Description		Status	
CRR 17	Regulation and Investigatory Powers Act	That the Council does not meet the requirements of legislation including the RIPA 2000 and the Protection of Freedoms Act 2012			
<b>Consequences</b>		That the Council is found to be in breach of the legislation.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	D	<b>Original Likelihood</b>	1
			Major		Very Low
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	<b>Current Likelihood</b>	1
			Medium		Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	C	<b>Target Likelihood</b>	1
			Medium		Very Low
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
08-Feb-2013 The Council has policies and procedures in place to enable it to meet the requirements of the legislation. The Council has not had any cases reported to the Information Commissioner				08-Feb-2013	Paul Cresswell







---

<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>3 OCTOBER 2013</b>
<b>REPORT OF THE:</b>	<b>COUNCIL SOLICITOR ANTHONY WINSHIP</b>
<b>TITLE OF REPORT:</b>	<b>FINAL REPORT – SCRUTINY REVIEW OF MEMBER ROLES ON OUTSIDE BODIES AND AS MEMBER CHAMPIONS</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

---

## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

- 1.1 This report presents recommendations from the scrutiny review of Member roles on outside bodies and as Member Champions, for agreement by the Overview and Scrutiny Committee before they are referred to the appropriate officers, working group or decision making body for consideration.

### **2.0 RECOMMENDATION**

- 2.1 It is recommended that the scrutiny review report on Member roles on outside bodies and as Member Champions be agreed.

### **3.0 REASON FOR RECOMMENDATION**

- 3.1 To make best use of resources in terms of time, skills and money, and ensure effective and efficient governance.

### **4.0 SIGNIFICANT RISKS**

- 4.1 There are no significant risks arising from the recommendations in the report.

### **5.0 POLICY CONTEXT AND CONSULTATION**

- 5.1 This review links into corporate aim 5 (to transform the Council) and strategic objectives 9 (to know our communities and meet their needs) and 10 (to develop the leadership, capacity and capability to deliver future improvements).
- 5.2 Details of the consultation undertaken are included in Annexes B-D of the scrutiny review report.

## REPORT

### 6.0 REPORT DETAILS

- 6.1 On 4 October 2012, the Overview and Scrutiny Committee decided to conduct a review of Member roles on outside bodies and as Member Champions. Terms of reference for the review were agreed at the meeting on 13 December 2012 and revised on 21 February 2013. A copy is attached as Annex A to the scrutiny review report.
- 6.2 The review has now concluded and the final report and recommendations are attached for consideration

### 7.0 IMPLICATIONS

- 7.1 The following implications have been identified:
- a) Financial  
There are no significant financial implications arising from the recommendations in the report.
  - b) Legal  
There are no significant legal implications arising from the recommendations in the report.
  - c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)  
There are no significant other implications arising from the recommendations in the report.

### Anthony Winship Council Solicitor

**Author:** Simon Copley, Democratic Services Manager  
**Telephone No:** 01653 600666 ext: 277  
**E-Mail Address:** [simon.copley@ryedale.gov.uk](mailto:simon.copley@ryedale.gov.uk)

### Background Papers:

As detailed in the scrutiny review report.

**Background Papers are available for inspection at:**  
Ryedale House.

# Scrutiny Review

## Member Roles on Outside Bodies and as Member Champions

RYEDALE  
DISTRICT  
COUNCIL



DRAFT

Overview and Scrutiny Committee  
October 2013

## **Executive Summary**

This Report sets out the results of a review of Member roles on outside bodies and as Member Champions. This review has been carried out by Ryedale District Council's Overview and Scrutiny Committee.

The aim of the review was to make best use of the Council's resources such as member time and expertise in relation to representation of the Council on outside bodies and as member champions, and best use of the Council's corporate systems.

The Committee made the following recommendations:

### ***Recommendations to Management Team***

- (i) That a named Council officer contact be provided for each outside body, where appropriate, to support Member representatives;
- (ii) That details of remit, frequency, timing and venue of meetings and links to outside bodies' websites be published on the Council's website via the modern.gov committee management system;

### ***Recommendations to the Member Development Task Group***

- (iii) That training needs relating to outside bodies be investigated and a generic role description be developed;
- (iv) That consideration be given to including a briefing to all Members on the modern.gov committee management system in the Member Development Programme;

### ***Recommendations to the Policy and Resources Committee, and then on to Full Council***

- (v) That the following outside bodies be removed from the list: Supporting People NY Joint Committee (agreed at Annual Council on 16 May 2013), Endowment Governors Charity called Malton School, LG Yorkshire & Humber Elected Members Cohesion Group (agreed at Annual Council on 16 May 2013), Rural Action Yorkshire (formerly YRCC);
- (vi) That substitute representatives be appointed for outside bodies;
- (vii) That a précis from Member representatives on outside bodies be published on the website, using a standardised electronic form, following each meeting to ensure feedback of key decisions and discussions relevant to the Council is available, and including their attendance record;
- (viii) That appointments to outside bodies be for two year terms, from 2015 onwards to coincide with the District elections, subject to a review mid term to address any attendance issues;

- (ix) That attendance on outside bodies be reviewed annually by the Overview and Scrutiny Committee, at its meeting in February, as part of its role reviewing and scrutinising performance, based on the attendance details in the précis and prior to consideration at Annual Council, and that recommendations be made on appointments to Annual Council;
- (x) That nominations of representatives to outside bodies should be recommended to Council based on their skills and expertise, in addition to attendance records, and that Members be asked to provide a statement of this upon nomination. That Members of Council should consider the recommendation made by the Overview and Scrutiny Committee and the content of the nomination statement to inform the vote at Annual Council;
- (xi) That the Independent Remuneration Panel be requested to review allowances payable to representatives on outside bodies;
- (xii) That all Members note that any representative on an outside body cannot be involved in any financial or regulatory decision taken by the Council that relates to that body. They can make representations, either through the public speaking opportunity for a relevant application at Planning Committee, or for other committees and Full Council by addressing the meeting at the chairman's discretion;
- (xiii) That the Member Champion role be abolished.

The Task Group wishes to thank all those who gave their time in contributing to this review.

# CONTENTS

<a href="#">Scope of the review</a>	5
<a href="#">Membership of the committee</a>	6
<a href="#">Methodology</a>	6
<a href="#">Findings</a>	7
<a href="#">Recommendations</a>	7
<a href="#">Annexes</a>	<b>Error! Bookmark not defined.</b>

DRAFT

## Scope of the review

The terms of reference for the Review were agreed at the Overview and Scrutiny Committee on the 13<sup>th</sup> December 2012 and revised on 21<sup>st</sup> February 2013. (See Annex A)

The aim of the review was to make best use of the Council's corporate systems and of the Council's resources such as member and officer time and expertise in relation to representation of the Council on outside bodies and as member champions.

The scope of the review covered the following:

- To review the list of outside bodies and consider if representation on all of them is beneficial to the Council and Ryedale.
- To find out more about the outside bodies on which RDC is represented including remit of body, frequency, timing and venue of meetings, any trustee role and requirements, phone and email contacts, and websites.
- To explore the use of the modern.gov. committee management system to best effect to provide more information about outside bodies to both members and the public.
- To consider any conflicts of interest for Members by sitting on outside bodies where they undertake a trustee role and how this may impact on members decisions making role within the Council.
- To consider paperless ways of making more information about the activities of outside bodies accessible to Members.
- To understand the role of member champions and review the themes of these.
- To estimate the cost of representation on outside bodies to the Council and identify the value this may add for the Council and Ryedale.
- To investigate how we can ensure Members appropriate skills are used when assigning Members to organisations.
- To consider whether appointments to outside bodies should be political.
- To prepare a recommendation for Council on if and when these appointments should be political.
- To consider how many organisations receive regular Council funding and how many of these do not have either Member or officer Council representation on them.

## Membership of the committee

Current : P J Andrews, SL Collinson, D E Cussons, G E Hawkins, Mrs A D Hopkinson, J R Raper, L Richardson, Mrs E L Shields (Vice Chairman), C R Wainwright (Chairman)

Previous: S Ward, J Windress

Meeting dates of the Scrutiny Review Task Group:

- 23/01/13 Considered list of outside bodies and representatives for 2012/13, feedback from Members on their roles on outside bodies (gathered Feb-March 2012), list of Member Champions for 2012/13 and the Member Champion role description.
- 06/03/13 Considered information received to date from Members who are representatives on outside bodies, information received to date from Members who are Member Champions, information received to date from outside bodies, information from North Yorkshire District Councils on Member Champions, details of funding given to external organisations and details of expenses claimed by representatives on outside bodies.
- 16/04/13 Considered summary and detailed information received from Members who are representatives on outside bodies, summary and detailed information received from Members who are Member Champions, summary and detailed information received from outside bodies, and list of responses and non-responses.
- 21/05/13 Considered advice on declarations of interest in relation to outside bodies, and in particular trustee roles, from the Monitoring Officer.
- 16/07/13 Considered draft report and recommendations.

Scrutiny Review Task Group supporting officers:

Simon Copley (Democratic Services Manager)  
Jane Robinson (Transformation Officer)  
Justine Coates (Business Improvement Officer)  
Anthony Winship (Council Solicitor)

## Methodology

The Committee/Task Group approached the review through:

- An audit of current representation on outside bodies, roles of members and requirements of those bodies.
- A review of feedback from current member champions and representatives on outside bodies to inform future representation by members of the Council. To clarify the role and expectations of members understanding of their role as a trustee.
- A review of the member champion job description
- A review of the role officers should play in supporting members in their role as representative, trustee or member champion.



## Findings

The research undertaken highlighted the following key findings:

### Member Champions

- A third of the Member Champions did not respond to the survey.
- Half of the Member Champions who responded were not aware of the role description.
- The role of Member Champions is not clearly defined in the Constitution of the Council.
- There is no framework in place to facilitate how Council officers should work with the Member Champions.
- All Member Champions who responded felt they had the skills and expertise to fulfil the role, however, some felt there was a need for additional training.
- There is no formal mechanism of reporting to Council about the Member Champion role and the progress being made in that role.
- The Member Champion role has no decision making powers.
- There was the potential risk of the Member Champion role straying into either an officer role or a Member decision making role which did not exist.
- Half of the Member Champions who responded did not feel their expectations of the role were being met.
- The perception of the group carrying out the review was that there was limited demonstrable value added by the Member Champion role and no subjective way of measuring this.
- Selby and Hambleton District Councils have recently removed their Member Champion roles, Richmondshire District Council does not have a Member Champion role and Harrogate Borough Council has sought to limit the number of Member Champions because of the difficulty in representing the Council when having no decision making powers.

### Recommendations

That the Member Champion role be abolished.

### Representation on Outside Bodies

- The majority of members representing the Council on outside bodies have voting rights (70%)
- 14% of members felt that their expectations of the role were not being met, citing the following reasons:
  - § The Council could do more to support the organisation concerned
  - § Meetings not always relevant
  - § No voting rights
  - § Limited discussions
  - § No meetings held
  - § Some meetings are a waste of time.
- There is no standard process for feeding back to Council.
- The majority of members did feel it was important for these outside bodies to have a Council representative.

- In 74% of cases there was no named substitute, and 71% thought there should be and that these substitutes should be named rather than taken from a pool of substitutes.
- Overwhelmingly, Members thought that the appointment of representatives should be based on skills and expertise.
- All Members felt they had the skills and expertise to fulfil the role, however, some felt there was a need for additional training.
- Nearly 60% of Members received officer support in their role, and only one member felt that the support could be improved.
- The majority of representatives did attend meetings on a regular basis.
- Minutes are produced for the majority of meetings although only half of these are made public.
- Only 2 of the outside bodies paid expenses to the representatives, the remaining representative's expenses being met by the Council.
- Representatives on three outside bodies (Local Government York & North Yorkshire, the LGA General Assembly and the LGA Rural Commission) receive an allowance of £29.50 per month under the Members' Allowances Scheme.
- Information regarding the outside bodies is not easily available and Members expressed interest in the work being undertaken to make more information available through the modern.gov committee management system.
- That some outside bodies could be removed from the list in the light of feedback received.
- That longer terms of appointment to outside bodies would allow representatives to build up a more detailed knowledge of the organisations and provide greater continuity.
- Members felt that because of their role, they were often excluded from Council meetings where a decision was being made about the organisation they are a representative on, and the skills, knowledge and expertise in that area were not available to support other members in their decision making.

## **Recommendations**

That a named Council officer contact be provided for each outside body, where appropriate, to support Member representatives;

That details of remit, frequency, timing and venue of meetings and links to outside bodies' websites be published on the Council's website via the modern.gov committee management system;

That training needs relating to outside bodies be investigated and a generic role description be developed;

That consideration be given to including a briefing to all Members on the modern.gov committee management system in the Member Development Programme;

That the following outside bodies be removed from the list: Supporting People NY Joint Committee (agreed at Annual Council on 16 May 2013), Endowment Governors Charity called Malton School, LG Yorkshire & Humber Elected Members Cohesion Group (agreed at Annual Council on 16 May 2013), Rural Action Yorkshire (formerly YRCC);

That substitute representatives be appointed for outside bodies;

That a précis from Member representatives on outside bodies be published on the website, using a standardised electronic form, following each meeting to ensure feedback of key decisions and discussions relevant to the Council is available, and including their attendance record;

That appointments to outside bodies be for two year terms, from 2015 onwards to coincide with the District elections, subject to a review mid term to address any attendance issues;

That attendance on outside bodies be reviewed annually by the Overview and Scrutiny Committee, at its meeting in February, as part of its role reviewing and scrutinising performance, based on the attendance details in the précis and prior to consideration at Annual Council, and that recommendations be made on appointments to Annual Council;

That nominations of representatives to outside bodies should be recommended to Council based on their skills and expertise, in addition to attendance records, and that Members be asked to provide a statement of this upon nomination. That Members of Council should consider the recommendation made by the Overview and Scrutiny Committee and the content of the nomination statement to inform the vote at Annual Council;

That the Independent Remuneration Panel be requested to review allowances payable to representatives on outside bodies;

That all Members note that any representative on an outside body cannot be involved in any financial or regulatory decision taken by the Council that relates to that body. They can make representations, either through the public speaking opportunity for a relevant application at Planning Committee, or for other committees and Full Council by addressing the meeting at the chairman's discretion.

## **Annexes**

**Annex A - Terms of Reference**

**Annex B – Summary of information from outside bodies**

**Annex C – Summary of information from Member representatives on outside bodies**

**Annex D – Summary of information from Member Champions**

**Annex E – Declaring Interests Flowchart**

DRAFT

### Terms of Reference for a Scrutiny Review of the Role of Members on Outside Bodies and as Member Champions

<b>Aim of the Review</b>	To make best use of the Council's corporate systems and of the Council's resources such as member and officer time and expertise in relation to representation of the Council on outside bodies and as member champions.
<b>Scope of the Review</b>	<p>That the scope for the review be as follows:</p> <ul style="list-style-type: none"> <li>• To review the list of outside bodies and consider if representation on all of them is beneficial to the Council and Ryedale.</li> <li>• To find out more about the outside bodies on which RDC is represented including remit of body, frequency, timing and venue of meetings, any trustee role and requirements, phone and email contacts, and websites.</li> <li>• To explore the use of the modern.gov. committee management system to best effect to provide more information about outside bodies to both members and the public.</li> <li>• To consider any conflicts of interest for Members by sitting on outside bodies where they undertake a trustee role and how this may impact on members decisions making role within the Council.</li> <li>• To consider paperless ways of making more information about the activities of outside bodies accessible to Members.</li> <li>• To understand the role of member champions and review the themes of these.</li> <li>• To estimate the cost of representation on outside bodies to the Council and identify the value this may add for the Council and Ryedale.</li> <li>• To investigate how we can ensure Members appropriate skills are used when assigning Members to organisations.</li> <li>• To consider whether appointments to outside bodies should be political.</li> <li>• To prepare a recommendation for Council on if and when these appointments should be political.</li> <li>• To consider how many organisations receive regular Council funding and how many of these do not have either Member or officer Council representation on them.</li> </ul>
<b>Why has this review been selected?</b>	<p>The topic of this review has been selected as a consequence of the work undertaken to review the role of the council in supporting a sustainable community and voluntary sector and follows on from one of the recommendations:</p> <p>'That a review be undertaken to define members roles as champions and board members of voluntary and community organisations'</p>
<b>Who will carry out the review?</b>	<p>The review will be carried out by a task group including:</p> <ul style="list-style-type: none"> <li>• A minimum of 2 members of the O and S committee (but open to all members of O and S)</li> <li>• The Democratic Services Manager</li> <li>• The Council Solicitor</li> <li>• Support will be provided by members of the Business Improvement Team</li> </ul>
<b>How the review will be carried out?</b>	<p>The task group will undertake the following activities:</p> <ul style="list-style-type: none"> <li>• An audit of current representation on outside bodies, roles of members and requirements of those bodies.</li> <li>• A review of feedback from current member champions and</li> </ul>

	<p>representatives on outside bodies to inform future representation by members of the Council. To clarify the role and expectations of members understanding of their role as a trustee.</p> <ul style="list-style-type: none"> <li>• A review of the member champion job description</li> <li>• A review of the role officers should play in supporting members in their role as representative, trustee or member champion.</li> </ul>
<b>What are the expected outputs?</b>	It is expected that the task group will produce a report, summarising the evidence they have gathered and containing specific recommendations for the council's policy committees and management team.
<b>Timescale</b>	It is anticipated that the group will conclude the outcomes of the review in April 2013. Progress reports will be submitted to the committee throughout the review.

# Agenda Item 10

## Ryedale District Council Representation on Outside Bodies / Organisations

**1 Name of Organisation:**

27 (100.0%)

**4 Telephone:**

27 (100.0%)

**2 Name of Contact:**

27 (100.0%)

**5 Email:**

27 (100.0%)

**3 Address:**

27 (100.0%)

**6 Website:**

23 (100.0%)

**7 Please summarise the main aim / purpose of the organisation:**

27 (100.0%)

**8 Does the organisation receive financial support from the Council?**

Yes	15 (57.7%)	No	11 (42.3%)
-----	------------	----	------------

**9 Is this financial support:**

Regular	14 (82.4%)	One off	3 (17.6%)
---------	------------	---------	-----------

**10 In what form does financial support take:**

Grant	8 (72.7%)	Subscription	3 (27.3%)
-------	-----------	--------------	-----------

Other, please specify:

10 (100.0%)

- 11 Please indicate the frequency of meetings:**
- |         |           |           |           |             |           |
|---------|-----------|-----------|-----------|-------------|-----------|
| Monthly | 8 (50.0%) | Quarterly | 5 (31.3%) | Half yearly | 3 (18.8%) |
|---------|-----------|-----------|-----------|-------------|-----------|
- Other, please specify:  
17 (100.0%)
- 12 Timing of meetings e.g. morning, afternoon, evening, particular day etc:**  
27 (100.0%)
- 13 Venue of meeting: (Building name & town/city)**  
27 (100.0%)
- 14 Type of meeting:**
- |               |            |                    |           |
|---------------|------------|--------------------|-----------|
| Board meeting | 15 (68.2%) | Consultation Group | 3 (13.6%) |
| Partnership   | 3 (13.6%)  | Working Group      | 1 (4.5%)  |
- Other, please specify:  
10 (100.0%)
- 15 On average, how many people attend the meetings?**  
27 (100.0%)
- 16 How many attendees are representatives of Ryedale District Council?**
- |                  |             |
|------------------|-------------|
| Elected Members. | 27 (100.0%) |
| Officers         | 17 (100.0%) |
- 17 Is the representative:**
- |             |           |                 |            |           |           |
|-------------|-----------|-----------------|------------|-----------|-----------|
| an observer | 6 (22.2%) | a voting member | 19 (70.4%) | a trustee | 5 (18.5%) |
|-------------|-----------|-----------------|------------|-----------|-----------|
- 18 Why does your organisation have a representative from Ryedale District Council?**  
27 (100.0%)



**19 Does the representative attend the meetings?**  
Yes 23 (88.5%) No 3 (11.5%)

**20 Do you pay the representative to attend meetings or reimburse their expenses?**  
Yes 2 (7.4%) No 25 (92.6%)

If Yes, please give details:  
2 (100.0%)

**21 Do you produce minutes of the meetings? are they public?**  
No 1 (4.0%) Yes, not public 12 (48.0%) Yes, public 12 (48.0%)

**Thank you for taking the time to complete this survey.**

This page is intentionally left blank

The Overview and Scrutiny Committee are currently undertaking a review of the role of Members on outside bodies / organisations and would appreciate you taking the time to complete this survey to inform their review. Please complete a survey FOR EACH organisation you are a representative on. Many thanks.

- 1 **Your name:**  
28 (100.0%)
- 2 **Organisation you are a representative for:**  
28 (100.0%)
- 3 **What is your role:**  
observer .....5 (18.5%) voting member .....19 (70.4%) trustee .....3 (11.1%)
- 4 **What are your expectations of the role:**  
26 (100.0%)
- 5 **Do you feel your expectations are being met?**  
Yes .....24 (85.7%) No .....4 (14.3%)
- 6 **If not, why not?**  
7 (100.0%)
- 7 **What benefits do you think the Council gains from this role?**  
28 (100.0%)
- 8 **What benefits do you think the organisation gains from this role?**  
26 (100.0%)
- 9 **Is there a 'named' substitute?**  
Yes .....7 (25.9%) No .....20 (74.1%)

- 10 Do you think there should be substitutes for outside bodies?**  
 Yes ..... 20 (71.4%) No ..... 8 (28.6%)
- 11 If 'yes' :**  
 Individual appointed named Members ..... 15 (78.9%) Pool of substitutes ..... 4 (21.1%)
- 12 Should appointments to outside bodies be based on skills and expertise rather than political?**  
 Yes ..... 24 (92.3%) No ..... 2 (7.7%)
- 13 Do you feel you have the skills and expertise for the role?**  
 Yes ..... 27 (100.0%) No ..... 0 (0.0%)
- 14 Do you feel you require any further training?**  
 Yes ..... 10 (38.5%) No ..... 16 (61.5%)
- 15 Do you regularly attend?**  
 Yes ..... 24 (88.9%) No ..... 3 (11.1%)
- 16 Can you commit the time required?**  
 Yes ..... 27 (100.0%) No ..... 0 (0.0%)
- 17 How do you feedback information to the Council?**  
 26 (100.0%)
- 18 What are the costs in travel for attending meetings of outside bodies?**  
 28 (100.0%)
- 19 Do you receive an allowance from the Council for this role?**  
 Yes ..... 1 (3.7%) No ..... 26 (96.3%)
- 20 If so, what is it for?**  
 2 (100.0%)
- 21 Would the outside body cover the costs of this allowance / travel expenses?**  
 Yes ..... 1 (4.2%) No ..... 23 (95.8%)
- 22 Do you receive any officer support for you role?**  
 Yes ..... 16 (59.3%) No ..... 11 (40.7%)

23

**If so, are there any changes that need to be made to this support?**

15 (100.0%)

**Thank you for taking the time to complete this survey.**

This page is intentionally left blank

# Agenda Item 10

The Overview and Scrutiny Committee are currently undertaking a review of the role of Members Champions and would appreciate you taking the time to complete this survey to inform their review. Many thanks.

1 Your name :

6 (100.0%)

2 Which member champion role do you hold?

6 (100.0%)

3 Are you aware of the role description?

Yes 3 (50.0%) No 3 (50.0%)

4 What are your expectations of the role:

6 (100.0%)

5 Do you feel your expectations are being met?

Yes 3 (60.0%) No 2 (40.0%)

6 If not, why not?

3 (100.0%)

7 Do you feel you have the skills and expertise for the role?

Yes 6 (100.0%) No 0 (0.0%)

8 Do you feel you require any further training?

Yes 2 (40.0%) No 3 (60.0%)

9 Can you commit the time required?

Yes 6 (100.0%) No 0 (0.0%)

**10 How do you feedback information to the Council?**

5 (100.0%)

**Thank you for taking the time to complete this survey.**



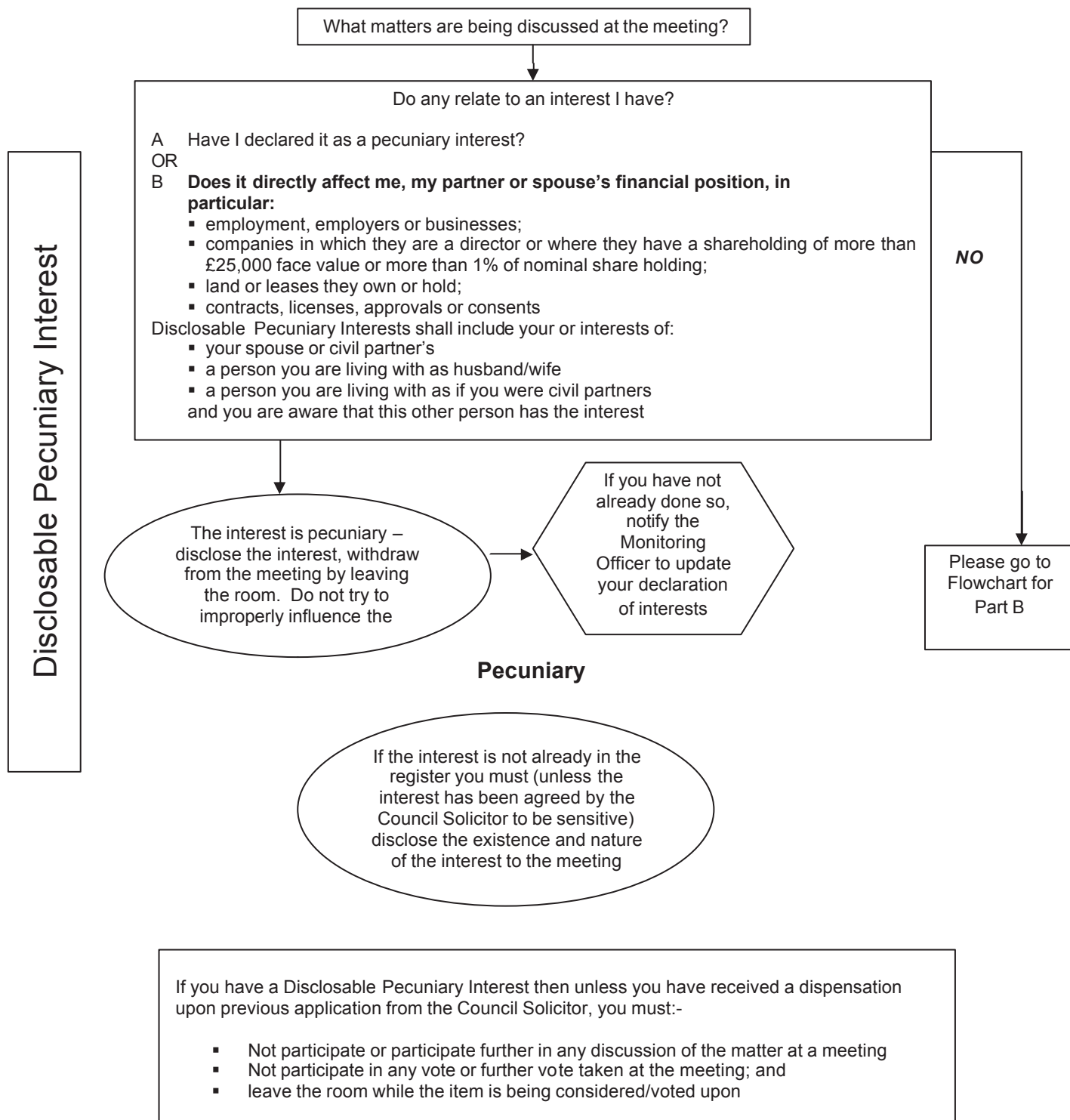
## DECLARING INTERESTS FLOWCHART – QUESTIONS TO ASK YOURSELF

This Flowchart is in the following two parts:-

1. Part A      Disclosable Pecuniary Interests
2. Part B      Disclosable Other Personal Interests

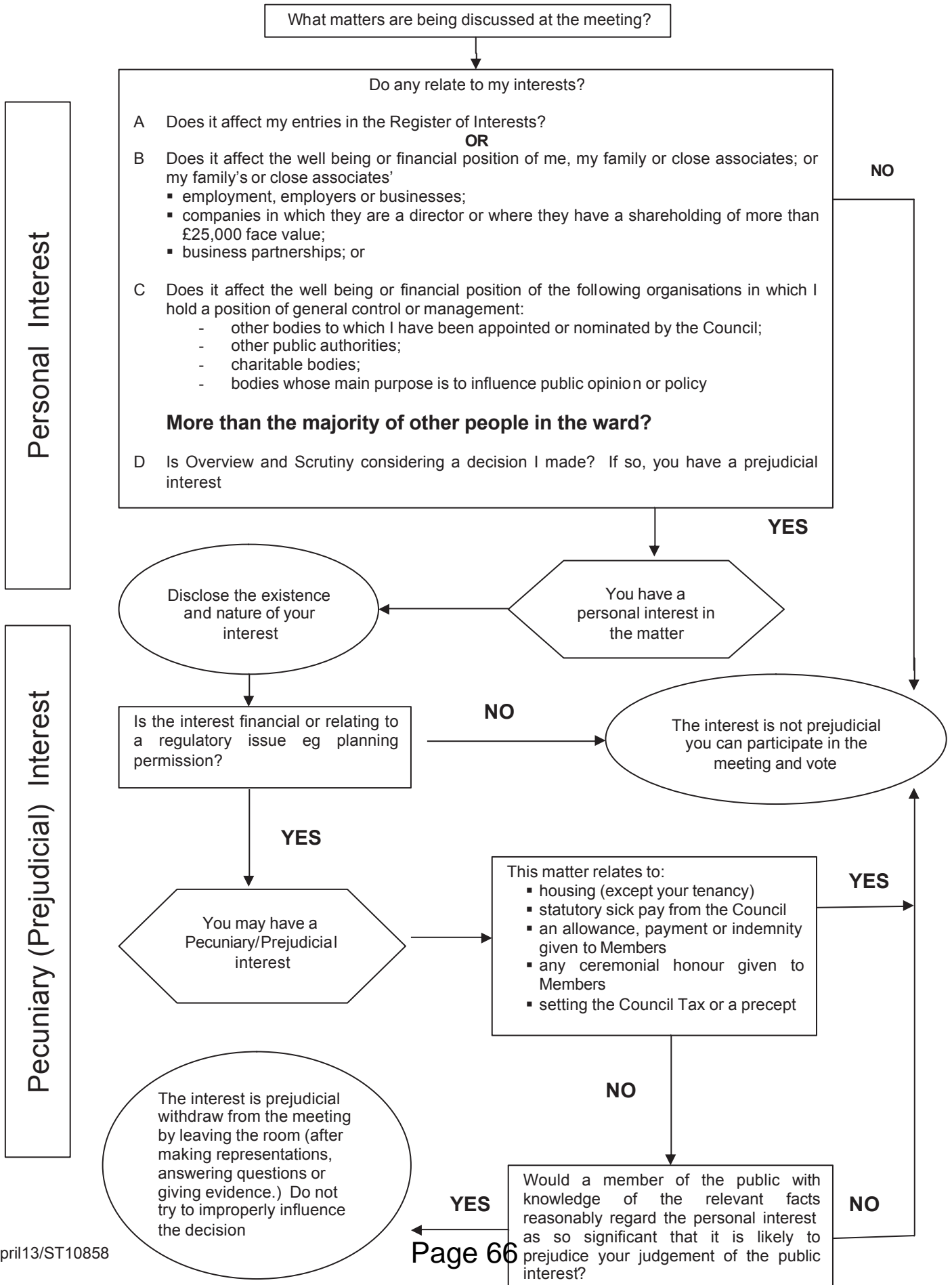
Please check both parts of the Flowchart to determine if you need to declare and leave a Committee or Council Meeting in relation to Council business

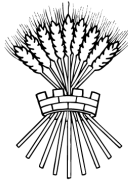
### PART A – DISCLOSABLE PECUNIARY INTERESTS



**DECLARING INTERESTS FLOWCHART – QUESTIONS TO ASK YOURSELF**

**PART B – DISCLOSABLE OTHER PERSONAL INTERESTS**





---

<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>3 OCTOBER 2013</b>
<b>REPORT OF THE:</b>	<b>HEAD OF CORPORATE SERVICES CLARE SLATER</b>
<b>TITLE OF REPORT:</b>	<b>TOPIC FOR THE NEXT SCRUTINY REVIEW</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

---

## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

- 1.1 To present members of the committee with some suggestions for the topic of a scrutiny review, to be undertaken following completion of the current review.

### **2.0 RECOMMENDATIONS**

- 2.1 That members of the committee agree:
- (i) the topic for the next scrutiny review;
  - (ii) the membership of the task group for the review; and
  - (iii) the date of an initial meeting of the task group to develop the scope and initial terms of reference for the review, for agreement at the next meeting of the committee.

### **3.0 REASONS FOR THE RECOMMENDATIONS**

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

### **4.0 SIGNIFICANT RISKS**

- 4.1 There are no significant risks associated with this report. The risk with any scrutiny review is that the scope is too wide and the terms of reference not clear.

### **5.0 POLICY CONTEXT AND CONSULTATION**

- 5.1 Undertaking Scrutiny reviews contributes to the delivery of corporate aim 5 (to Transform the Council) and strategic objectives 9 (to know our communities and

meet their needs) and 10 (to develop the leadership, capacity and capability to deliver future improvements).

- 5.2 Consultation with relevant partners, members of the public or any other parties the members decide would help to inform the review will be undertaken as part of the review. The task group will prepare the plan for this as an integral part of the review.

## REPORT

### 6.0 REPORT DETAILS

- 6.1 At the previous meeting of the committee a number of ideas for a suitable topic for the next scrutiny review were discussed. A common theme across the topics discussed was the value of community rights within the Localism Act 2011.

- 6.2 The Localism Act 2011 includes a number of 'Community Rights' these are listed below and further information can be accessed by using the links:

- [Community Right to Bid](#)
- [Community Right to Build](#)
- [Community Right to Challenge](#)
- [Community Right to Reclaim Land](#)

- 6.2 The following topics are suggested by officers for consideration for the next review:

#### ***(i) Localism and Fuel Poverty***

In August 2013 the government set out a new definition of fuel poverty, which it plans to adopt. The new definition will be that a household will be defined as 'fuel poor' if:

- Total household income is below the poverty line (taking into account energy costs); and
- Energy costs are higher than typical.

The Department for Energy and Climate Change published a detailed report in August to explain the change in definition- [Link to report](#)

The current definition of a 'fuel poor household' is that a household would need to spend 10% of their income on energy a year. Ryedale currently has 26% of households who are fuel poor under this definition and has the third highest levels after Eden and Derbyshire Dales. Under the revised definition Ryedale has 11.1% of households in fuel poverty and is ranked 150<sup>th</sup> out of 329 areas.

Ryedale has a the highest proportion of Hard to Treat Homes (those homes which are of solid wall construction and are off-gas networks) in York and North Yorkshire

The key drivers behind fuel poverty are:

- The energy efficiency of the property (and therefore, the energy required to heat and power the home)
- The cost of energy
- Household income

A review could be undertaken to investigate the potential within the community rights for communities to develop sustainable solutions to some of their fuel needs, with studies of examples of communities using the powers to develop such solutions and research into the potential for communities to collaborate to develop local energy solutions.

#### ***(ii) Use of the Community Rights to date***

A review could be undertaken of the use made of the various community rights in other local authority areas, and an exploration of the potential to encourage use of the rights for the benefit of communities in Ryedale.

#### 6.4 Empty Properties and Homelessness

The strategies in place to address Homelessness and the number of Empty Properties have been provided to members and links can be found at the end of this report. Whilst an investigation into the use of empty homes to alleviate homelessness was suggested as a possible topic for a scrutiny review, a question and answer session for members with the Housing Services Manager may be a more suitable route for investigating this issue and explaining the work the Council undertakes in reducing the number of homeless presentations and the number of empty properties and any relationship between the two.

### 7.0 IMPLICATIONS

7.1 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 Corporate Services**

**Author:** Clare Slater, Head of Corporate Services  
**Telephone No:** 01653 600666 ext: 347  
**E-Mail Address:** [clare.slater@ryedale.gov.uk](mailto:clare.slater@ryedale.gov.uk)

#### **Background Papers:**

The Localism Act 2011

[www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/5959/1896534.pdf](http://www.gov.uk/government/uploads/system/uploads/attachment_data/file/5959/1896534.pdf)

Community Rights:

- [Community Right to Bid](http://www.gov.uk/government/policies/giving-people-more-power-over-what-happens-in-their-neighbourhood/supporting-pages/community-right-to-bid) - [www.gov.uk/government/policies/giving-people-more-power-over-what-happens-in-their-neighbourhood/supporting-pages/community-right-to-bid](http://www.gov.uk/government/policies/giving-people-more-power-over-what-happens-in-their-neighbourhood/supporting-pages/community-right-to-bid)
- [Community Right to Build](http://www.gov.uk/government/policies/giving-people-more-power-over-what-happens-in-their-neighbourhood/supporting-pages/community-right-to-build) - [www.gov.uk/government/policies/giving-people-more-power-over-what-happens-in-their-neighbourhood/supporting-pages/community-right-to-build](http://www.gov.uk/government/policies/giving-people-more-power-over-what-happens-in-their-neighbourhood/supporting-pages/community-right-to-build)
- [Community Right to Challenge](http://www.gov.uk/government/policies/giving-people-more-power-over-what-happens-in-their-neighbourhood/supporting-pages/community-right-to-challenge) - [www.gov.uk/government/policies/giving-people-more-power-over-what-happens-in-their-neighbourhood/supporting-pages/community-right-to-challenge](http://www.gov.uk/government/policies/giving-people-more-power-over-what-happens-in-their-neighbourhood/supporting-pages/community-right-to-challenge)
- [Community Right to Reclaim Land](http://www.gov.uk/government/policies/giving-people-more-power-over-what-happens-in-their-neighbourhood/supporting-pages/community-right-to-reclaim-land) – [www.gov.uk/government/policies/giving-people-more-power-over-what-happens-in-their-neighbourhood/supporting-pages/community-right-to-reclaim-land](http://www.gov.uk/government/policies/giving-people-more-power-over-what-happens-in-their-neighbourhood/supporting-pages/community-right-to-reclaim-land)

DECC Updated Fuel Poverty Report (August 2013):

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/226985/fuel\\_poverty\\_report\\_2013.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/226985/fuel_poverty_report_2013.pdf)

This page is intentionally left blank