



## **OVERVIEW AND SCRUTINY COMMITTEE**

Wednesday 17 April 2019 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 21 March 2019**

(Pages 3 - 6)

**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 Chair's Announcements**

### **OVERVIEW & SCRUTINY ITEMS**

**7 Safer Ryedale progress with delivering the Community Safety plan (Pages 7 - 50)**

## **AUDIT ITEMS**

- 8 **External Audit Progress Report and Sector Update** (Pages 51 - 70)  
Presented by Thilina De Zoysa, Grant Thornton Engagement Manager
- 9 **Third Internal Audit and Counter Fraud Progress Reports 2018/19** (Pages 71 - 86)
- 10 **Internal Audit, Counter Fraud and Information Governance Plans 2019/20**  
(Pages 87 - 102)
- 11 **O&S Committee Forward Plan** (Pages 103 - 108)
- 12 **Any other business that the Chairman decides is urgent.**

## Overview and Scrutiny Committee

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Held at Council Chamber, Ryedale House, Malton  
on Thursday 21 March 2019

### Present

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Councillors Joy Andrews, Clark (Chairman), Cussons MBE, Frank, Jowitt, Di Keal and Oxley

### In Attendance

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Beckie Bennett, Jos Holmes and Nicki Lishman

### Minutes

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97 **Apologies for absence**

Apologies for absence were received from Councillor Acomb.

98 **Minutes of the meetings held on 14 February 2019 and 4 March 2019**

**Decision**

That the minutes of the meetings held on 14 February 2019 be approved and signed by the Chairman as a correct record.

**Voting record**

Unanimous

**Decision**

That the minutes of the meetings held on 4 March 2019 be approved and signed by the Chairman as a correct record.

**Voting record**

Unanimous

99 **Urgent Business**

There were no items of urgent business.

100 **Declarations of Interest**

There were no declarations of interest.

101 **Chair's Announcements**

The Chairman requested that Members consider how to progress Members' involvement with outside bodies as no precis reports had been received during the municipal year, as agreed in the Scrutiny review.

The Chairman requested that Members consider Minute 93 of the Policy and Resources Committee that did not include the recommendation from the Resources Working Party.

102 **Safer Ryedale Progress with Delivering the Community Safety Plan**

The Chairman proposed that this item was to be deferred to the next meeting of the Committee to be held on 17 April 2019. If Members had any questions or feedback on the report, it was requested that these be referred to officers or the Chairman prior to the meeting.

**Decision**

That consideration of the Safer Ryedale progress with delivering the Community Safety Plan be deferred to the next meeting of the Committee to be held on 17 April 2019.

**Voting record**

Unanimous

103 **Scrutiny Review on Climate Change**

Considered – report of the Delivery and Frontline Services Lead

**Decision**

2.1 That the final Scrutiny Task Group report be noted.

**Voting record**

Unanimous

**Decision**

2.2 That the Task Group recommendations and actions as amended be agreed.

**Voting record**

Unanimous

**Recommendation to Council**

2.3 That Overview and Scrutiny Committee recommends Council to adopt and implement the recommendations.

**Voting record**

Unanimous

**Decision**

2.4 That Overview and Scrutiny Committee thanked the Senior Commissioning Officer for the excellent report.

**Voting record**

Unanimous

104 **Scrutiny Reviews - Progress Report**

Considered – report of the Delivery and Frontline Services Lead.

**Decision**

i. That the progress report for previous Scrutiny reviews be noted.

ii. On the subject of members involvement on outside bodies, that policies of the Council are delivered.

**Voting record**

Unanimous

105 **O&S Committee Forward Plan**

Considered

**Decision**

That the Forward Plan be noted

106 **Decisions from other Committees**

Considered.

**Decision**

i. That the minutes of the Policy and Resources Committee held on 14 March 2019 were presented.

ii. That the Committee supports a call in by the Chairman of Minute 93 if necessary.

**Voting record**

Unanimous

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

There being no items of urgent business, the meeting closed at 7.45 pm.

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<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY</b>
<b>DATE:</b>	<b>17 APRIL 2019</b>
<b>REPORT OF THE:</b>	<b>CUSTOMER SERVICE LEAD ANGELA JONES</b>
<b>TITLE OF REPORT:</b>	<b>SAFER RYEDALE PROGRESS WITH DELIVERING THE COMMUNITY SAFETY PLAN</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

- 1.1 To inform Members of the draft 2019/20 Ryedale Community Safety Hub Action Plan.
- 1.2 To inform Members of the current Police and Crime Commissioners Target Hardening Funding Projects in Ryedale.

### **2.0 RECOMMENDATION(S)**

- 2.1 It is recommended that Members note the report and appendices and provide feedback to Officers.

### **3.0 REASON FOR RECOMMENDATION(S)**

- 3.1 The Police and Justice Act 2006 placed a statutory duty on local authorities to put in place arrangements for crime and disorder scrutiny committees, the statutory function of the committee being to review, scrutinise and report on the decisions made and action taken by responsible authorities relating to crime and disorder issues under the Crime and Disorder Act 1998.
- 3.2 The Overview and Scrutiny Committee was designated as the Ryedale District Council's crime and disorder overview and scrutiny committee in July 2009. To undertake this function, it was resolved to receive reports from Ryedale Community Safety Hub. (Minute 42(b) refers.)

### **4.0 SIGNIFICANT RISKS**

- 4.1 Risks are outlined in the Risk Matrix in appendix A.

## **5.0 POLICY CONTEXT AND CONSULTATION**

- 5.1 Council Priority: Customers and Communities - Helping our partners to keep our communities safe and healthy.
- 5.2 Council Priority: Customers and Communities - making the best use of resources to ensure maximum benefit for all customers and communities across the district, particularly the most vulnerable
- 5.3 Consultation with Ryedale Community Safety Hub partners including Neighbourhood Watch and Community and Police groups has been undertaken.

## **REPORT**

### **6.0 REPORT DETAILS**

#### **6.1 North Yorkshire Community Safety Partnership**

In the interests of efficiency and economy, the responsible authorities in the county of North Yorkshire agreed to establish a single Community Safety Partnership (CSP) for North Yorkshire (to be known as the North Yorkshire Community Safety Partnership).

The purpose of the CSP is to bring together the responsible authorities, supported by other relevant organisations, to fulfil their statutory responsibilities to work together.

North Yorkshire Community Safety Partnerships are under a statutory duty to work together to:

- Reduce reoffending
- Tackle crime and disorder
- Tackle anti-social behaviour
- Tackle alcohol and substance misuse
- Tackle any other behaviour, which has a negative effect on the local environment.

This plan takes into consideration the following influencing factors and plans:

- The Police and Crime Plan
- Youth Commission
- The North Yorkshire Police Control Strategy

#### **6.2 Police and Crime Plan**

In Ryedale the priority is to ask the police to consider how its whole workforce is best deployed to respond to traditional policing demand which concerns the public most, including burglary and anti-social behaviour. This should include the implementation of mobile working to help officers spend more time in communities, and effective collaboration to improve community and road safety

### **6.3 The Youth Commission**

The Police and Crime Commissioner supported Youth Commission had as a key part of its role to run a “Big Conversation” through which were gathered the views and opinions of around 1500 young people. The views gathered then formed a series of recommendations presented to the Commissioner, North Yorkshire Police and Partner Agencies.

The six current chosen priority areas are:

1. Mental Health and Vulnerable Young People
2. Abusive Relationships
3. Hate Crime
4. The Relationship between Young People, Police and Authorities
5. Drug and Alcohol Abuse
6. Missing Young People and Exploitation

### **6.4 The North Yorkshire Police Control Strategy**

The North Yorkshire Police Control Strategy Priorities are currently:

Reduce Victim Harm; Safeguarding vulnerable and / or exploited people

Reduce Community Harm: Road Traffic Collisions; Border Vulnerabilities; Serious Organised Crime

The CSP is supported by district based Community Safety Hubs which Ryedale has one.

### **6.5 Ryedale Community Safety Hub**

Ryedale District Council has 3 heads of service, two of whom have responsibility for Community Safety:

- The Customer Service lead has responsibility for Community Safety
- The Front line & Delivery lead has responsibility for Safeguarding

Under these leads sit teams of staff focussed on tackling many issues of community safety including environmental issues, noise nuisance, ASB and fly-tipping and matters pertaining to housing and safeguarding.

Safer Ryedale agreed during 18/19 to change the name from Safer Ryedale to Ryedale Community Safety Hub in line with other districts in the North Yorkshire Community Safety Partnership.

*(Currently Under Review)*

### **6.6 Ryedale Community Safety Hub**

The Ryedale Community Safety Hub consists of:

Ryedale District Council Head Customer Service  
Ryedale District Council Housing Manager (Safeguarding)  
Ryedale District Council Community Officer

Ryedale District Council members  
North Yorkshire Police Safer neighbourhood Team  
Ryedale Neighbourhood Watch  
North Yorkshire Fire & Rescue  
North Yorkshire Police Domestic Abuse coordinator  
North Yorkshire County Council Trading standards

The purpose of the Ryedale District Community Safety hub is to bring together the operational managers of the responsible authorities, supported by other relevant organisations, to co-ordinate and ensure the delivery of the North Yorkshire Community Safety Partnership Plan, in each district.

Community Safety hubs work together to:

- Protect their local communities from crime and disorder, and help people feel safer;
- Deal with local issues like antisocial behavior, drug or alcohol misuse, re-offending and crime prevention; and
- Assess local crime and disorder priorities and consult partners and the local community about how to deal with them.

Roles and Responsibilities undertaken in 2018 / 2019:

- Organisation and management of Pubwatch
- Attending Rural shows
- Establishing Road shows
- Monitoring anti-social motor-vehicle use
- Co-ordinating seat belt & speed checks
- Multi-Agency Problem Solving fortnightly meetings
- Weekly intelligence and information sharing meetings
- Joint visits to residents
- Presence at VEMT meetings
- Presence at School meetings
- Joint training on Prevent, Notice check & share, Immigration, Modern slavery & trafficking and Safeguarding
- Promoting and supporting Community events
- Promoting community messaging
- Litter & Fly Tipping, dog fouling campaigns "Don't be a waster"

The three subgroups of Ryedale Community Safety Hub: Domestic Abuse, Safer Roads and Crime, Alcohol and Substance Misuse have reviewed their actions for 2018/19 and refreshed these in the context of the revised information outlined above

## 7.0 Partnership Priorities and the Control Strategy

### 7.1 Local Issues

It is accepted that crime and anti-social behaviour issues within the Ryedale area may share commonality with other more urban areas and yet there are differences in the priorities and focus locally with particular emphasis on traditional crime groupings and ASB

Overall Crime and ASB volumes for Ryedale are shown below

	15/16 (April – Feb)	16/17 (April – Feb)	17/18 (April – Feb)	18/19 (April – Feb)
Crime	1579	1460	1587	1609
ASB	1083	1110	1094	829
PSW	3449	3679	3735	2320
Rural Crime				

PSW includes Missing persons, hoax calls, disputes, industrial accidents etc.

### 7.2 Partnership Priorities 2018/19

Our Priorities for the Ryedale Community Safety Hub are to:

- Reduce crime, alcohol and substance misuse
- Reduce Domestic Abuse
- Safer Roads

Our additional priorities are linked to Safeguarding

- Ensuring the Safeguarding of the vulnerable in Ryedale
- Tackling Hate and Mate Crime
- Tackling ASB

Our approach is underpinned by strong partnership working and aims to take a multi-agency approach to often complex issues, focusing on both support and enforcement measures.

We aim to achieve our 3 key priorities through partnership working and delivery of our action plan. Collectively we will:

- Be proactive and visible in the community, to build the trust and confidence of communities, encourage reporting and seeing at first hand the issues experienced.
- Co-ordinate and deliver multi-agency operations aimed at identifying and supporting young people and vulnerable adults and identifying, targeting and disrupting those that are exploiting them. Attending locations that are being used to exploit or commit crime and ASB and we will use appropriate enforcement powers to disrupt and deal with issues identified.
- Facilitate and coordinate wider partnership support at twice weekly tasking meetings.
- Use the partnership decision making model to determine priorities and the development and delivery of specific, shared action plans.
- Use of Anti-Social Behaviour legislation to deal with those causing anti-social behaviour.

**Specifically we will:**

- **Be proactive in our approach to reducing harm and offending associated with drugs and alcohol**
- Identify offenders and use the Decision Making Model to support the disruption of illegal drug supply across the District.
- Share information and intelligence gained through multi agency tasking and operations and use appropriate enforcement powers
- Disrupt the supply of NPS through targeting premises that are known to be selling NPS using appropriate tools and powers including the Anti-Social Behaviour, Crime and Policing Act 2014.
- Disrupt and take enforcement action with those individuals causing Anti-Social Behaviour who are under the influence of NPS.

**7.3 Work in support of our multi-agency partners in raising awareness of and preventing harm associated with Domestic Violence**

- Work with commissioners to ensure the sustainability of the Making Safe Scheme domestic abuse offender accommodation and target hardening for victims.
- Continued attendance at and referrals to Multi Agency Risk Assessment Conferences (MARAC) for high risk victims of domestic abuse.
- Work in partnership to deliver Scarborough/Ryedale's Domestic abuse strategy

Incident numbers

<b>Domestic Violence</b>	<b>15/16</b>	<b>16/17</b>	<b>17/18 (April – Feb)</b>	<b>18/19 (April – Feb)</b>
	86	104	140	155

Domestic Abuse continues to be a Ryedale Community Safety hub priority. The table above shows overall volumes of incidents

**7.4 Work with multi-agency partners in improving Road Safety in the District**

To work in partnership to undertake specific campaigns to raise awareness and promote road safety.

Promote community involvement in the speed management protocols.

**7.5 Work in support and promotion of Safeguarding**

- The Council has a duty to safeguard adults at risk and children. Council staff receive specific safeguarding training and work according to the Safeguarding Children and Vulnerable Adults Policy and Procedures
- Coordination and delivery of a safeguarding event in partnership with NYCC for all sports and recreational clubs in the District. This will support clubs to have the correct safeguarding policies and procedures in place for children and adults at risk.
- Continue to provide basic awareness safeguarding children and adults sessions where the need is identified.

- Continued attendance at Children and Adult Safeguarding Meetings and identified working groups where appropriate.
- The Ryedale Safeguarding Panel meets quarterly to review this policy, arrange training, monitor referrals and ensure compliance with the Policy. Panel meetings are chaired by the Deputy Chief Executive and members of the panel include the Designated Safeguarding Officer, Ryedale Community Safety hub, district councillors and representatives from various council departments
- The Council is a reporting agency and has a duty to report any safeguarding concerns to North Yorkshire County Council who review the facts and respond as appropriate
- The council works in partnership with other agencies to safeguard children through the North Yorkshire Safeguarding Children Board and vulnerable adults through the North Yorkshire Safeguarding Adults Board

#### **7.6 Work towards tackling a rise in Hate and Mate Crime**

- Ensure links are developed and maintained with late night refreshment houses.
- Continue to raise awareness of Hate and Mate crime with those living and working in the community through the delivery of briefing sessions
- Continue to promote the Hate crime reporting centres across the District and further develop where the need is identified.
- Continue to Identify and build links with our BME communities across the District

#### **7.7 Work with Multi-agency partners in addressing ASB and the Causes of ASB**

Be proactive and visible in the community, to build the trust and confidence of communities, encourage reporting and seeing at first hand the issues experienced

Facilitate and coordinate wider partnership support at fortnightly MAPS (Multi Agency Problem Solving) meetings

Use the partnership decision making model to determine priorities and the development and delivery of specific, shared action plans

Use of Anti-Social Behaviour legislation to deal with those causing anti-social behaviour

#### **7.8 Night time economy**

Organisation of pubwatch to raise awareness ensure licence conditions are checked and administration of banned list and reduce drug and alcohol related ASB

Work in support of the Street Angels - A voluntary sector organisation who work in the Night Time Economy in Malton and Norton providing a presence on the streets engaging with those who are out and about, identifying any vulnerabilities including those that have had too much alcohol and are not able to take care of themselves. This reduces the demand on the emergency services.

## **7.9 Fly tipping**

Raise awareness, removal of rubbish and identification of offenders and appropriate enforcement action including participation in multi agency cross boundary group working on fly tipping “Operation Eyeball”

## **8.0 Control Strategy: Reducing Victim Harm**

Working with North Yorkshire Police and multi-agency partners we will work toward the completion of the aims outlined within the North Yorkshire Police Control Strategy in Reducing harm to the victim.

### **8.1 Cyber-enabled Sexual Crime**

- The Community team will support and contribute towards educational input delivered in schools by the Safer Neighbourhood Police Team.
- Issues pertaining to grooming will be raised and discussed within the fortnightly Multi-agency Problem Solving Meetings.

### **8.2 Fraud (Personal)**

- Victims and vulnerable people exposed to the threat of fraud will be referred to and addressed through the fortnightly MAPS meetings. These will enable a cross-departmental collaborative approach in addressing this issue.
- Joint training is to be sought for the Community Team representatives replicating that given to NYP PCSOs enabling Community Team members to be Fraud Ambassadors. This will enable RDC officers to conduct joint visits to those most at risk of financial exploitation.

### **8.3 PREVENT**

- Prevent is part of the government’s counter terrorism strategy, which aims to reduce the threat to the UK from terrorism by stopping people becoming terrorists or supporting terrorism. In the Act this has simply been expressed as the need to “prevent people from being drawn into terrorism”. Prevent work depends on effective partnership.
- To demonstrate effective compliance with the duty, specified authorities must demonstrate evidence of productive co-operation, in particular with the police and local authorities, and co-ordination through existing multi-agency forums, for example Community Safety Partnerships.

Specifically, we will:

- Continue to chair the Bronze Group and implement the Bronze Action Plan
- Coordinate a multi-agency event to ensure that everyone is aware of the “notice, check and share” procedures at both a local and county level.
- Continue to deliver the WRAP sessions when and where the need is identified with partner agencies.

#### **8.4 Modern Slavery and Human Trafficking**

- Continued attendance at and referrals to Vulnerable, Exploited, Missing and Trafficked meetings (VEMT) for young people.
- Continue to work in partnership to implement the Referral procedure across North Yorkshire with agreement to house cases in an emergency situations for 5 days
- Work in support of the local Police Team on joint visits at Car Washes in the district and those local factories employing large numbers of migrant workers to ensure compliance with Immigration legislation and investigate possible exploitation of labour.

#### **8.5 Child Abuse, Neglect and Child Sexual Exploitation**

- Continue to deliver the “See Something, Say Something” campaign to encourage anyone who is worried about someone being exploited to tell someone who can help. This will be aimed at hotels, guest houses, licensed premises, holiday parks, taxi drivers , bus companies and other forms of public transport
- Continued attendance at and referrals to Vulnerable, Exploited, and Missing and trafficked meetings (VEMT) for young people.

#### **8.6 Domestic Abuse**

- Work with commissioners to ensure the sustainability of the Making Safe Scheme domestic abuse offender accommodation and target hardening for victims.
- Continued attendance at and referrals to Multi Agency Risk Assessment Conferences (MARAC) for high risk victims of domestic abuse.
- Work in partnership to deliver Scarborough/Ryedale’s Domestic abuse strategy

#### **8.7 Missing People**

- Victims and vulnerable people who are regularly reported as missing from home will be referred to and addressed through the fortnightly MAPS meetings. These will enable a cross-departmental collaborative approach in addressing this issue.
- Use of RDC social media as a platform to share details of people missing from home.

#### **8.8 Stalking and Harassment**

- Victims and vulnerable people exposed to the threat of Stalking and Harassment will be referred to and addressed through the fortnightly MAPS meetings. These will enable a cross-departmental collaborative approach in addressing this issue.
- Ryedale House is an established “Place of Safety” enabling the reporting of offences at that location.

## **8.9 Control Strategy: Reduce Community Harm**

### **Road Traffic Collisions**

To work in partnership to undertake specific campaigns to raise awareness and promote road safety.

Promote community involvement in the speed management protocols.

## **9.0 Border vulnerabilities**

- Work collaboratively to disrupt cross border activity by analysing intelligence gathered through the partnership and undertaking a decision making process to develop appropriate partnership action plan.
- Use partnership meetings and activity to proactively gather intelligence and fill gaps.
- Contribute towards North Yorkshire Police Crime prevention Roadshows
- Communicate Crime Prevention advice positively including erecting appropriate warning signage in RDC Carparks.
- To support North Yorkshire Police “Border Vulnerabilities Tactical plan”

## **9.1 Serious Organised crime**

## **9.2 Organised acquisitive crime**

- Members of the Community Team have received input into the activities of Organised Crime groups.
- Specifically this has recently involved the activity of doorstep sellers in the Ryedale area who are believed to act within a wider organised crime team identifying those potential properties or victims for future offences.
- The Community Team work in educating and informing parish councils and other community groups in raising the profile of such Organised Crime Groups.
- The RDC Community Team have financially contributed to the purchase of a Dotpeen marking machine for the use of the Ryedale Policing Team. The use of this marking machine is intended to deter criminal activity and identify and recover those goods stolen.
- Attendance and support at Crime Prevention Roadshows run by NYP volunteers.

### 9.3 Drugs Production and Supply

- The Community Team contribute to the sharing of information pertaining to the production and supply of controlled drugs.
- Offenders, Victims and vulnerable people exposed through the production and supply of controlled drugs will be referred to and addressed through the fortnightly MAPS meetings. These will enable a cross-departmental collaborative approach in addressing this issue.
- RDC will use appropriate powers and legislation to combat the supply and production of controlled drugs from addresses through working with Housing associations and implementing closure orders.

### 9.4 Organised Immigration Crime

- The Community Team conduct visits of houses of multi occupancy within the Ryedale area and have the opportunity to gather intelligence and report possible offences of organised Human Trafficking and immigration offences.
- Continued attendance at and referrals to Vulnerable, Exploited, Missing and Trafficked meetings (VEMT) for young people.
- Continue to work in partnership to implement the Referral procedure across North Yorkshire with agreement to house cases in an emergency situations for 5 days
- Work in support of the local Police Team on joint visits at Car Washes in the district and those local factories employing large numbers of migrant workers to ensure compliance with Immigration legislation and investigate possible exploitation of labour.
- The Community Team have undertaken training in how to spot and report incidences of suspected immigration offences.

### 9.5 Measuring Progress

We will use a number of measures to assess the effectiveness of our work and to demonstrate outcomes.

This includes:

a) A key measure of success is the **reduction of risk** in relation to individual cases referred. We will use a standard matrix form for all cases referred to the MAPS. All cases will have an opening risk score completed at the time of referral, this shows the level of concern about the individual or location. The aim of the multi-agency work is to reduce the level of risk (score) through the undertaking of appropriate actions and interventions. Cases are reassessed and the comparison between opening and closing scores measures progress in relation to the effectiveness of the team.

b) We will listen to and record **resident feedback** at CAP (Community and Police) meetings, Parish & Town Council Meetings and Community events and roads shows

c) Analyse the **Crime and ASB data** to monitor trends and hotspots (although it should be noted that crime and ASB can initially increase in areas where work is being undertaken)

d) Collect data relating to **actions and interventions**, e.g. operations undertaken, safeguarding referrals, enforcement actions, fire safety initiatives

e) Evidence of an improved **physical environment** through work undertaken by the team

f) Provide a yearly report to the Council's Overview and Scrutiny Board

## 9.6 Funding

The biggest resource to support the delivery of this plan is through the collective resources of the partner organisations, working through the Community Safety Hubs.

Small amounts of funding are available to support the delivery of specific aspects of the plan. This includes funding secured from Police and Crime Commissioners Office (OPCC) specifically for targeting of properties and locations where vulnerability has been identified. Communications funding is also provided to raise awareness of emerging issues or priorities. This funding is only allocated year on year and is not a guaranteed source of income for the team.

The OPCC has developed a new commissioning process for 17/18 through which agencies and organisations can bid direct to the OPCC for funding to deliver the NYCC Partnership Plan and local delivery plans.

The PCC Target Hardening funding Ryedale in 18/19 was £1,815.51 which was spent on noise monitoring equipment

The PCC Target Hardening funding for Ryedale in 19/20 is £1,923.63 part of which will pay for the licences for the Community Officers to access the new Police System "Orcuma"

9.7 The 18/19 Ryedale Community Safety Hub Action Plan progress report is appended in Annex B

9.8 The draft 2019/20 Ryedale Community Safety Hub Action Plan is appended in Annex C

## 9.9 IMPLICATIONS

The report is for information only.

## 10.0 NEXT STEPS

10.1 Views of Members will be given to the Ryedale Community Safety Hub, at their next meeting when the Action Plan will be adopted

**Angela Jones**  
**Customer Service Lead**

**Author:** Angela Jones  
Telephone No: 01653 600666 ext: 43220  
E-Mail Address: angela.jones@ryedale.gov.uk

**Background Papers:**  
None

**Background Papers are available for inspection at:**  
Not applicable

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## RYEDALE COMMUNITY SAFETY - RISK MATRIX – ANNEX A

Issue/Risk	Consequences if allowed to happen	Likelihood	Impact	Mitigation	Mitigated Likelihood	Mitigated Impact
That the Ryedale Community Safety Action Plan does not address the key issues for partners and for the community of Ryedale	Work might be carried out by all partners with scarce resources being expended for little or no result	4	C	All members of Priority Action groups to focus on setting SMART Actions and Targets	1	A
The Ryedale Community Safety Action Plan is not delivered	Crime and perception of crime will increase	4	C	Ensure quarterly performance monitoring to keep on track with delivery actions. Ensure partnership approach through joint Ryedale tasking and early intervention	2	A
Partners duplicate activity	Waste of resources	3	C	Task groups assign actions	1	A
Other authorities prioritise over RDC	Crime and perception of crime will increase Additional cost to RDC	4	C	Raise RDC profile across agencies and raise issues with CSP	1	A

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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

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## **DELIVERY PLAN 2018 – 19**

- Domestic Abuse
- Safer Roads
- Crime, Alcohol and Substance Misuse

**Domestic Abuse: LEAD Angela Hartley**

Aim: To protect and support people experiencing domestic abuse in Scarborough, Whitby and Ryedale

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	Action	Who	Progress Update
1	<p>Awareness raising: Delivery of more awareness sessions in relation to Domestic Abuse, Making Safe, MARAC and Claire's Law, stalking and harassment and coercive and controlling behaviour</p> <p>Organisation of DV awareness event with guest speakers and appropriate services having stands and information provision.</p> <p>Comments: Update 2018/19 awareness police officers need training on non-molestation orders</p> <p>Practitioners need awareness of internet issues – to be explored with NYCC safeguarding team to see if there is a qualified speaker available to give a presentation</p> <p>Links to be made with Filey Road Tech Scarborough possibly through the librarian</p> <p>Inivitation to be sent to Bob Williams to give a talk at future forum meeting about MATAC</p> <p>All agencies to circulate training opportunities through the forum</p>	<p>All agencies NYP &amp; IDAS</p>	<p>DV Awareness Event took place in Scarborough but open to all practitioners in Ryedale on 18.4.18, guest speakers John Liversidge – Bright Sky app, Judge Neeves re Family court and Connect</p> <p>Awareness Raising in relation to Healthy Relationships delivered to young people and staff at YH Training and Foundation. Secondment into the Domestic Abuse Unit for all new Police Officers and PCSO's. Local Sergeants also to have attachment into the Department.</p> <p>Presentation to all PCSO's by DAO's, IDAS and Founda</p> <p>IDAS visit The University campus in Scarborough and colleges in Scarborough to raise awareness</p> <p>Domestic Abuse Awareness workshop held at Rye House on 10<sup>th</sup> October joint presentation by IDAS and P DA Team – about 30 multi-agency practitioners attended Debbie Agus from Thorpe and Co to lead on training p about non-molestation orders Spring 2019</p>



	<p>Comments:</p> <p>Invitation to be sent to Julie Kelly from Youth Justice</p> <p>Monitor effectiveness of Operation Encompass</p>	<p>IDAS</p>	<p>IDAS are now funded to work with children affected by domestic abuse on their Respect and Safer Futures projects – since summer 2018</p> <p>Delivery of ‘Crucial Crew’ programme is ongoing</p> <p>Schools are notified of dv incidents and the info is reviewed by the MAST team and added to any open social care cases.</p>
<p>3</p>	<p><b><u>Maintain Multi Agency Partnership Working</u></b> Engage and our hard to reach communities e.g. Polish Community, Travellers, LGBT, MESMAC, Muslim community and support staff within the local hospitals</p> <p>Comments:</p>	<p>Domestic Abuse Co-ordinator and Community Cohesion Officer</p>	<p>“Welcome to North Yorks” –leaflets available highlighting local services, section on DV, can be translated into numerous languages.</p> <p>Counselling Leaflets have been produced in different languages, Polish etc. and circulated.</p> <p>Arrangements to be made with Sepideh Mojabi, Community Dev. Worker from Refugee Council Resettlement Team, for the DV Unit to speak to the refugees about DV etc</p> <p>Tony Quinn new in NYCC post of Community Cohesion Officer for Scarborough and Ryedale – working on how to best identify newcomers from overseas so that we can raise their awareness of services – will feedback at next domestic abuse forum meeting</p>

NOT PROTECTIVELY MARKED

Safer Ryedale Partnership Plan Action Plan 2018-19 Performance Monitoring

January 2019

			IDAS have electronic versions of their posters in foreign languages that can be downloaded Rebecca from Horizons to give presentation about the service at future forum meeting
4	<p><b><u>Sustainable Emergency Accommodation in the Making Safe scheme</u></b> Foundation to be proactive with the promotion of the scheme. Explore funding opportunities to provide accommodation for perpetrators of abuse and update all agencies</p> <p>Comments:</p>	Foundation	New management now in post at Foundation but they have not sent a report Jan 2019 – invitation to be sent to Katy Hardy-Jensen
5	<p><b><u>DATA</u></b> HELP perpetrator programme - to provide feedback and outcomes Provision of local data to identify hotspots and any repeat victims</p> <p>Comments:</p>	Heather Pentland	<p>27.2.18 – Next HELP programme to be delivered in April – however may be delayed. The HELP programme is being promoted by the DA Unit, to all Police Officers and PCSO's on attachment to the Department. Eventually this will also be shared <b>with</b> all sergeants which will come into the Department on attachments.</p> <p>DAC has arranged meeting with Sue Clark on 20.6.18 to discuss.</p> <p>Police Data to be circulated, highlighting hot spots.</p> <p>There is currently a staff shortage in the DA unit so less proactive work can be undertaken Jan 2019.</p> <p>A new system of MATAC meetings has commenced throughout the County to target the worst repeat domestic abuse offenders</p>

6	MATAAC Multi Agency Tasking and Coordination	NYP/RDC	North Yorkshire Police together with RDC Safeguarding are adopting an approach to tackling the higher risk domestic violence perpetrators through seeking to change offender behaviour through partnership working. Perpetrators adopted are those posing the highest risk to partners and children and the MATAAC meetings will set actions for all agencies involved. Those perpetrators who engage positively will be offered support and referrals. Perpetrators who do not engage will be subject of prevention, diversion, disruption and enforcement.
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**Safer Roads: LEAD Mark Upton**

Aim: To minimise the levels of Killed and Seriously Injured on the roads of Ryedale.

	Action	Who	Progress Update
1	Motorcycle Campaign	Safer Roads Steering Group	<p><b>Quarter 1 April May June 2018</b></p> <p>15.04.2018 seaways café fridaythorpe (CSO &amp; RSO) - Biker packs to be handed out and promoting and collecting names for biker down delivered by NYFRS.</p> <p>17.06.2018 Mag Rally Helmsley (Blue Watch Malton, CSO &amp; RSO) - Biker packs to be handed out and promoting and collecting names for biker down delivered by NYFRS.</p> <p>23-24.06.2018 cock o north biker fest Oliver's mount (Scarborough crew, CSO &amp; RSO) - Biker packs handed out and promoting and collecting names for biker down delivered by NYFRS.</p>

			<p>15.04.2018 seaways café Fridaythorpe Malton Market place - Market day joint service working NYFRS/NYP/Road Safety. Theme drink and drugs, used the beer goggles and a line on the ground to demonstrate the affects of alcohol and drugs on the road, Fire crew also showed members of public the tools they use at road traffic incidents. Multi agency biker engagement 200 biker packs distributed containing ear defence a wipe for helmet visor or registration plate and an emergency crash guide, 54 bikers signed up to the free biker down course at either Selby or Malton.</p> <p>17.06.2018 Mag Rally Helmsley motorbike campaign - handing out 300 biker packs and advice and leaflets.</p> <p>18.8.2018 Biker Down event, 10 candidates attended the session, recruited from MAG rally event in Helmsley attended by Malton Fire Station Blue watch</p>
2	Older Drivers (Cars) Campaign	Safer Roads Steering Group	<p><b>Quarter 1 April May June 2018</b></p> <p>25.05.2018 Mickle Hill Retirement home coffee morning (CSO) - Generic Road Safety input (focusing on the free older driver assessment with a driving instructor and the free eye test voucher available)</p> <p>01.07.2018 Malton Show – older drivers Advice. Fire Service attendance giving advice on Road Safety and also: Animal Rescues, Fire Safety in the Home, Moorland Fire Safety, Fire Service recruitment, Home Fire Risk Assessments. Leaflets given out and practical advice on mitigating the risk of moor fires in the current high temperatures</p>
3	Young Road User Campaign	Safer Roads Steering Group	

			<p>26.02.2018 Road Safety Filey Academy (CSO, RSO &amp; Transport police rotation) – 30 minute rotations, 3 classes age group 15 personal safety and road safety.</p> <p><b>Quarter 1 April May June 2018 –</b></p> <p>15.04.2018 Seamer Primary School Junior Road Safety Officer visit to Seamer school (CSO) – Fire service presence in assembly.</p> <p>21.06.2018 Plaxton Park Health &amp; Wellbeing day (Clean air day) – (Scarborough Crew, CSO, RSO) – open to young persons and families for road safety of younger persons - Balance bikes for children and cycling advice, helmet egg demonstration for children.</p> <p>04.07.2018 Malton School Drive wise, 40 minute presentation to the whole year group 16-17 years old and a 40 minute RTC car cut demonstration with casualty extraction.</p> <p>17.10.2018 Drive Alive Event Pickering Lady Lumleys. Drive Alive presentation to 50 pupils at Lady Lumleys School. This emphasized the importance and consequences of driving under the influence of drink and drugs. It also explained how a driver can easily be distracted by passengers and the use of a mobile phone causing a serious accident.</p>
4	Deployment of Data Loggers and Matrix Signs As & when requested via Speed Management Protocol and reported quarterly to the group.	SMP Team	
6	Occupational Road Risk/Users	Safer Roads Steering Group	<b>Quarter 1 April May June 2018</b>

		<p>15.04.2018 – Malton market place – multi service event drink &amp; drug drive event – (CSO/Ops crew/NYP/RSO) offering measuring unit cups, beer google usage, looking at speed guns and how they are used, advice and info from ops crew and new drug information given and shown the device that detects drugs.</p> <p>13.05.2018 Morrison’s Car Park – Summer drink drive Campaign – (CSO/Ops crew/RSO) Vehicle checks and fluid checks on vehicles done, whilst road safety handed out unit measures and information on how long alcohol stays in the system.</p> <p>21.05.2018 Actions have consequences presentation Derwent lodge and YMCA both vulnerable groups with historical issues with crime @ Malton Fire station – (CSO/Ops crew/NYP) – Presentation covering road safety, RTC Demonstration input from Blue Watch Malton.</p> <p>26.06.2018 Robin Hoods Bay Car (CSO/Ops crew/RSO) - Vehicle checks and fluid checks on vehicles done, whilst road safety handed out unit measures and information on how long alcohol stays in the system.</p> <p>03.05.2018 &amp; 04.05.2018 Drive Wise Scarborough Tech (Ops crew/RSO/NYP) – Presentations and demonstrations advice given you young persons.</p> <p>15.04.2018 – Malton market place – multi service event drink drive. Blue watch Malton set up cutting equipment and demonstrating what they would use and showed first aid and CPR on a dummy.</p> <p>13.05.2018 Morrison’s Car Park – summer drink drive Campaign. Vehicle checks and fluid checks on vehicles done, whilst road safety group handed out unit measures and information on how long alcohol stays in the system.</p>
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			<p>7.11.2018 Driver Safety Event. RTC demo to the Yorkshire faculty of pre hospital care. Car on 4 wheels extrication carried out using live casualty. 1 paramedic and 1 doctor took part in exercise to demonstrate medical response. Fire Service provided commentary to crowd throughout with support from a BASICS doctor. Observers numbered approx. 60 and included representatives from Mountain rescue, Hospitals, ambulance service and medical training facilities.</p>
7	<p>Enforcement Activity Policing the Roads through casualty reduction and reducing criminal use – in recognition of the significant human impact caused by road traffic collisions and the potential threat posed by serious organised crime</p>	NYP	<p><b>Quarter 1 April May June 2018</b></p> <p>14.04.2018 Malton Market Place/Horsemarket Road &amp; Castle Howard Road (CSO/RSO/NYP) – Speed gun use, pulling over and vehicle checking.</p> <p>Two Safety Camera Vans (SCVs) are currently based out of Malton with 6 operatives working from the station. The vans operate within daylight hours and the number of static sites have increased with the raising of Community Concern. This has been seen most recently with the identification and adoption of Welham Road as a site for the SCV.</p> <p>“Policing the Roads through casualty reduction and reducing criminal use – in recognition of the significant human impact caused by road traffic collisions and the potential threat posed by serious organised crime.”</p> <p>8.12.2018 Road Safety Initiative Malton Market Place with police and Road safety team. Christmas Market approx. 400 people engaged with, providing advice on driver and fire safety. Handed out approximately 100 HFRC postcards to residents. Advice given to persons from further afield to contact local fire station to</p>

			<p>arrange HFRC. 8 HFRC visits confirmed. Drink/Drug driving posters handed out to 7 Public houses in market place to display. Crews also performed some first aid when a lady tripped over a kerb and injured her knee.</p> <p>9.12.2018 Second day at Malton xmas food market. Additional 2 confirmed HFRC requests. Approx. 40 postcards handed out. Crews assisted Police on stall with guidance on alcohol units and road safety advice. Approx. 200 people engaged with overall</p>
8	<p>Community Events to be programmed in, geographically and thematically. For example</p> <ul style="list-style-type: none"> <li>• Seat belt monitoring</li> <li>• Mobile phone usage</li> <li>• Cycling Safety Education</li> </ul>	<p>NYF&amp;R RDC, NHW</p>	<p><b>Quarter 1 April May June 2018</b></p> <p>05.05.2018 TDY Finish line on Sandside (CSO &amp; RSO) - Balance bike used to help children learn stability also damaged bike contest to guess how many things they can see wrong on an old bike for children and egg in a helmet demo.</p> <p>21.06.2018 Plaxton Park Health &amp; Wellbeing day (Clean air day) – (CSO &amp; RSO) Balance bikes and cycling advice, offering hi-viz back cover when signing up to newsletter and handing out biker safety packs including puncture repair and safe routes and helmet egg demonstration.</p> <p>1.09.2018 Malton Red Watch crew together with North Yorkshire Police, Yorkshire Air Ambulance, 95 Alive Road Safety Team and Scarborough and Ryedale Mountain Rescue Team along with RDC Community Officer engaged with approximately 700 members of the public. Delivering an RTC demonstration, and</p>

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			<p>Animal rescue demonstration. Funds were raised for Yorkshire Air Ambulance, £250.</p> <p>Jan 2018 - RDC Community Officer, NYP, Fire Service and NYCC Safer roads event held a speed awareness event at York Road, Malton giving drivers advice and education</p>
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**Crime, Alcohol & Substance Harm: LEAD Martin Dennison**

Aim: To reduce incidents of crime, anti-social behaviour, alcohol and substance harm within our communities in Ryedale

	<b>Action</b>	<b>Who</b>	<b>Comments</b>
1	Thematic Multi Agency Problem Solving; responding to community issues raised with all agencies & communities. Including Rural Crime issues and Multi Agency Days of Action, rural shows and road shows.	NYP, Rural Crime Team NHW	NYP and RDC Community Team draw together different strands of powers and experience in tackling community issues from a multi-agency perspective. This can be seen in tackling ASB, Night-time economy issues, neighbourhood disputes and Community Safety issues. This can be seen in the application for and imposition of Community Orders on nominals in Kirkbymoorside receiving a CBO. NYP and RDC Community Team now coordinate a more streamlined but efficient MAPS process whereby referrals into the meeting can come from all multi-agency partners and are subject of information exchange, analysis and action. Joint operations and visits are routinely run between NYP, RDC, Housing, Mental Health teams and Trading Standards. Community issues are not the preserve or responsibility of one organisation but a collective responsibility
2	Families and individual (aged 16+) Ryedale Multi Agency Tasking Process. (Also known as the Community Safety Hub or Integrated Neighbourhood Management.)Continue to work in close liaison with Ryedale Schools to identify young persons who are at risk. (School MAPS)	RDC, all Multi Agency Tasking Partners and Ryedale Schools	NYP continue to attend and work in collaboration with our partners in information sharing and joint working to address concerns and matters within Ryedale schools. This includes closer liaison with what is now a greater cross section of schools in Ryedale. RDC have attended Schools regarding 'Don't Be a Waster' and Ryedale Pubwatch  Fortnightly MAPS meeting recently up-dated referral and currently Police and RDC working on new shared Orcuma system – in Test Mode at present and Community Team currently being Police vetted

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	<b>Action</b>	<b>Who</b>	<b>Comments</b>
3	Support a multi agency approach to tackling Child Sexual Exploitation (CSE) within Ryedale with a particular focus on safeguarding vulnerable people and prosecuting offenders. Link to VEMT activity.	All Responsible Agencies	The NYP Safer Neighbourhood Team have worked closely with RDC and our other multi-agency partners in sharing information and determining strategy in dealing with CSE within the area Safer Neighbourhood officer together with RDC safeguarding leads have held both case conferences into perpetrators and now support the local Ryedale VEMT process identifying and protecting those children identified at risk of Vulnerability, Exploitation, who are Missing or Trafficked
4	Deliver Crime Prevention and Educational Campaigns within Ryedale, including to young people, such as the Time 2 project and Cyber Crime to the business community.	NYP, RDC NHW	Officers and staff from the Safer Neighbourhood Teams continue to conduct school and learning establishment visits and deliver presentations on internet and social media safety. NYP volunteers have a set agenda for crime prevention roadshows and events for 2019 and in continue in advising on the Banking protocol to advise on financial safety and security.
5	Support community messaging and volunteers involved in Community Safety issues including Neighbourhood Watch, CAP meetings, Street Angels and Rural Watch.	NYP & Rural Crime Team, Ryedale Neighbourhood Watch, RDC	Ryedale Safer Neighbourhood Police Team and Ryedale District Council have positively promoted the use of Community messenger at public events and in the wider Community. The subscriptions to  The Safer Neighbourhood Police and Community Teams have assisted numerous Third Sector and voluntary agencies over the last 12 months. We continue to support the CAP group meeting process with attendance at the three existing forums; Pickering, Malton/Norton and Sherburn. We are keen to extend this template into Kirkbymoorside and Helmsley. NYP are in the process of carrying out vetting procedures on volunteers for a new Rural Watch initiative in the northern and western areas of Ryedale to replicate rural watch programmes in others areas of North Yorkshire Police. The policing Team are looking forward to the installation and go-live on CCTV systems within Malton, Norton and Pickering which will enable the re-deployment of Street Angels in the towns. In supporting

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	<b>Action</b>	<b>Who</b>	<b>Comments</b>
			<p>each of these agencies and initiatives we are looking to increase the feeling of confidence and safety within Ryedale.</p> <p>Police and RDC working on NY wide Operation Eyeball (Fly tipping) Action day currently being planned.</p> <p>Second year of Don't be waster split into quarters rather than monthly. Good campaign of dog fouling in regards to education within schools.</p> <p>Community Officers attended in Dalby Forest along with Rural Watch Officers to give education and advice.</p>
6	<p>Promote and support Pubwatch Schemes within Ryedale. Encourage staff Licensees, door staff and partner agencies to take collective responsibility in promoting a safer night time economy. Take a collective action to Licensees not complying with licensing condition.</p>	<p>NYP, RDC, NYCC Trading Standards</p>	<p>North Yorkshire Police continues to support RDC in their promotion of the Pubwatch scheme in ensuring the safety of the public during the night-time economy. The effectiveness and confidence in the scheme will undoubtedly increase with the implementation of the new CCTV systems across our towns.</p> <p>RDC Community Officers are working closely with all licences with regard to spot checks for Class A drug usage within premises and provided with organised training with regard to drug awareness</p> <p>The Ask Angela Campaign is being promoted to all Pubwatch Members through posters and advice</p>
7	<p>Address the harm caused by drugs with a focus on reduction of supply and demand through development of actionable intelligence and monitoring, proactive and disruptive activity and education.</p>	<p>All Steering Group</p>	<p>In 2018 the Safer Neighbourhood Team launched Operation Drapery an initiative tackling the supply of controlled drugs in the Malton and Norton areas of Ryedale. The Operation combines enforcement and investigative functions and is focussed on suppliers and street level dealing networks. To date there have been a number of arrests and raids on addresses within the Malton and Norton areas which have come as a result of an increase in intelligence received. A number of individuals are currently on bail pending enquiries.</p>

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	<b>Action</b>	<b>Who</b>	<b>Comments</b>
			<p>NYP continue to gather and act upon intelligence relating to the possession and supply of controlled drugs in the Ryedale area with officers having executed a number of warrants under the Misuse of Drugs Act.</p> <p>All RDC Community Officers have attended Drug and Alcohol awareness training to increase awareness and knowledge.</p>
8	Protect residents from scams, rogue traders and loan sharks, including No Cold Calling Zones.	NYCC Trading Standards and all partners	Trading Standards training for all Parish Councils and Community Team. Loan Shark Training – provided by Police to Community Officers. Greater links with Trading Standards
9	Control the illicit tobacco and underage alcohol sales in Ryedale.	NYCC Trading Standards and all partners	Trading Standards liaising closely with RDC to target illicit tobacco and alcohol sales to minors
10	Provide a monitoring service for roadside traveller communities in order to reduce the number of ASB associated incidents. Liaison with NYCC GTRS Strategy Group	NYCC, RDC	Specific case meeting regarding traveller family with issues with vulnerabilities rather than ASB. Attendance of Seamer Horse Fair pre-event planning
11	To facilitate Counter Terrorism events for local businesses	RDC,CTU,NYP	<p>The Safer Neighbourhood Team and RDC have attended CT input for local businesses including an Operation Griffin briefing day. Following on from this a number of schools in the Ryedale area have or are in the process of completing new Emergency Response plans. These feature revised evacuation and in-vacuation plans to counter traditional bomb alert and fire alarm drills threats and new threats from incursion into school premises. These plans will sit with Force Control rooms and County.</p> <p>Planning organising CT event before the end of the year</p> <p>Hate crime training provided for Community Officers along with WRAP training.</p>

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Safer Ryedale Partnership Plan Action Plan 2018-19 Performance Monitoring

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	<b>Action</b>	<b>Who</b>	<b>Comments</b>
			NYCC Stronger Community Officer now based once a week at RDC working closely with Community Officers.
12	Raise awareness with key businesses on priority topics such as Safeguarding, Run, Hide & Tell	RDC	Planning organising CT event before the end of the year

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# **RYEDALE COMMUNITY SAFETY HUB DRAFT ACTION PLAN 2019 – 2020**

**Cyber-Enabled Sexual Crime. Overarching Lead:**

	<b>Action</b>	<b>Who</b>	<b>Progress Update</b>
1			
2			
3			

**Fraud (Personal):  
Lead: Angela Jones**

	<b>Action</b>	<b>Who</b>	<b>Progress Update</b>
1	Awareness Raising session to be arranged – Trading Standards to attend to give presentation	JM	
2	Banking protocol training	PS Darren Coles PS Paul Gibson Hodges	
3	Training and roll out of banking protocol officers	PS Darren Coles PS Paul Gibson Hodges	

**PREVENT:  
LEAD Kim Robertshaw**

	<b>Action</b>	<b>Who</b>	<b>Progress Update</b>
1	Continue to chair the Local Delivery Group and promote active membership across stakeholders	RDC	Ongoing
2	Provide the annual Counter Terrorism Local Plan intelligence update through community engagement	Prevent Local Delivery Group	Completed
3	Provide WRAP sessions when and where the need is identified with partner agencies and ensure effective communication on Prevent issues is disseminated across the district to our partners where appropriate	RDC Specialist officers	Over 100 officers trained in 2018/19
4	Develop a local community engagement plan to disseminate information	Prevent Local Delivery Group	Completed by September 2019

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**Substance Related Crime and Anti-Social Behaviour:  
Lead: Angela Jones**

	<b>Action</b>	<b>Who</b>	<b>Progress Update</b>
1	Be proactive and visible in the community, to build the trust and confidence of communities, encourage reporting and seeing at first hand the issues experienced. <ul style="list-style-type: none"> <li>Facilitate and coordinate wider partnership support through Multi Agency Forums</li> <li>Use the partnership decision making model to determine priorities and the development and delivery of specific, shared action plans.</li> </ul>	NYP/RDC	

	<ul style="list-style-type: none"> <li>Use of Anti-Social Behaviour legislation to deal with those causing anti-social behaviour.</li> </ul>		
2	Co-ordination and delivery of multi-agency operations aimed at identifying and supporting young people and vulnerable adults and identifying, targeting and disrupting those that are exploiting them. Attending locations that are being used to exploit or commit crime and ASB and we will use appropriate enforcement powers to disrupt and deal with issues identified.	NYP/RDC	
3	Facilitate and coordinate wider partnership support at fortnightly MAPS (Multi Agency Problem Solving) meetings	NYP/RDC	
4	Use the partnership decision making model to determine priorities and the development and delivery of specific, shared action plans	NYP/RDC	
5	Use of Anti-Social Behaviour legislation to deal with those causing anti-social behaviour	NYP/RDC	
6	<p>Identify offenders and use the Decision Making Model to support the disruption of illegal drug supply across the District.</p> <ul style="list-style-type: none"> <li>Share information and intelligence gained through multi agency tasking and operations and use appropriate enforcement powers</li> <li>Disrupt the supply of NPS through targeting premises that are known to be selling NPS using appropriate tools and powers including the Anti-Social Behaviour, Crime and Policing Act 2014.</li> <li>Disrupt and take enforcement action with those individuals causing Anti-Social Behaviour who are under the influence of NPS.</li> </ul>	NYP/RDC	

	<ul style="list-style-type: none"> <li>Be proactive and visible in the community, to build the trust and confidence of communities, encourage reporting and seeing at first hand the issues experienced</li> </ul>		
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**Modern Slavery and Human Trafficking:  
LEAD Kim Robertshaw RDC**

	Action	Who	Progress Update
1	Continue to work in partnership to implement the Referral procedure across North Yorkshire with agreement to house cases in an emergency situations for 5 days	NY Housing Authorities	
2	Providing in House Modern Slavery training for officers and stakeholders	External Provider	
3	Undertake joint visit with NYP and Fire service through Operation Contribute to identify those at risk	RDC, NYP, Fire and Rescue	
4	Attendance at County Modern Slavery Event in York	Specialists, RDC	

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**Safeguarding Children and Adults at risk including D Abuse, Missing People, Sexual Violence and Child Exploitation:  
LEAD Kim Robertshaw/NYP**

	Action	Who	Progress Update
1	Continue to deliver the "See Something, Say Something" campaign to encourage anyone who is worried about someone being exploited to tell someone who can help. Delivered through Safeguarding training	Senior Specialist (People)	

2	Continued attendance at and referrals to Vulnerable, Exploited, and Missing and trafficked meetings (VEMT) for young people.	Senior Specialist (People)	
3	Delivery of more awareness sessions in relation to Domestic Abuse, Making Safe, MARAC and Claire's Law Organisation of DV awareness event with guest speakers and appropriate services having stands and information provision.	All agencies NYP & IDAS	
4	Identify all programmes and support available for children aged 0-18 years and then identify any gaps JCG are looking at services that have been commissioned and identifying gaps. Police, York & NYCC are putting together a bid for a pot of money to map services across the areas and identify gaps. 'Create Confidence' Programme delivered by the Prevention Service Provide 'Healthy Relationships' information during Crucial Crew June 2017  Monitor effectiveness of Operation Encompass		
5	The Ryedale Safeguarding Panel meets quarterly to review this policy, arrange training, monitor referrals and ensure compliance with the Policy. Panel meetings are chaired by the Deputy Chief Executive and members of the panel include the Designated Safeguarding Officer, Safer Ryedale, district councillors and representatives from various council departments		

6	Continued attendance at Safeguarding Adults and Children Multi agency meetings	Senior Specialist (People)	
7	Work with commissioners to ensure the sustainability of the Making Safe Scheme domestic abuse offender accommodation and target hardening for victims.	Foundation Senior Specialist (People)	
8	Continued attendance at and referrals to Multi Agency Risk Assessment Conferences (MARAC) for high risk victims of domestic abuse.	Senior Specialist (People)	
9	Work in partnership to deliver Scarborough/Ryedale's Domestic abuse strategy	Senior Specialist (People)	
10	Maintain Multi Agency Partnership Working Engage and our hard to reach communities e.g. Polish Community, Travellers, LGBT, MESMAC, Muslim community and support staff within the local hospitals	Domestic Abuse Co-ordinator and Community Cohesion Officer	
11	Continue to raise awareness of Hate and Mate crime with those living and working in the community through the delivery of briefing sessions		

**Stalking and Harassment: LEAD**

	Action	Who	Progress Update
1	The domestic abuse forum have an action to work on raising awareness		
2	Instances of stalking and harassment to be brought up on MAPS meetings for discussion and sharing information	All parties	

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**Road Traffic Collisions: LEAD Mark Upton NYFRS**

	<b>Action</b>	<b>Who</b>	<b>Progress Update</b>
1	Motorcycle Campaign	Safer Roads Steering Group	
2	Older Drivers (Cars) Campaign	Safer Roads Steering Group	
3	Young Road User Campaign	Safer Roads Steering Group	
4	Deployment of Data Loggers and Matrix Signs As & when requested via Speed Management Protocol and reported quarterly to the group.	SMP Team	
6	Occupational Road Risk/Users	Safer Roads Steering Group	
7	Enforcement Activity Policing the Roads through casualty reduction and reducing criminal use – in recognition of the significant human impact caused by road traffic collisions and the potential threat posed by serious organised crime	NYP	
8	Community Events to be programmed in, geographically and thematically. For example <ul style="list-style-type: none"> <li>• Seat belt monitoring</li> <li>• Mobile phone usage</li> <li>• Cycling Safety Education</li> </ul>	NYF&R RDC, NHW	

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**Border Vulnerabilities and Cross Border Crime: LEAD Inspector Martin Dennison NYP**

Aim: To reduce incidents of cross border crime and deprive criminals the use of road networks

	<b>Action</b>	<b>Who</b>	<b>Progress Update</b>
1	Work collaboratively to disrupt cross border activity by analysing intelligence gathered through the partnership and undertaking a decision making process to develop appropriate partnership action plan.	NYP SNA	
2	Use partnership meetings and activity to proactively gather intelligence and fill gaps.	NYP SNA	
3	Implement enforcement action, including warrants, premises closures, and disruption of “cuckooing”.	NYP SNA	
4	To support North Yorkshire Police “Border Vulnerabilities Tactical plan”	NYP SNA All parties	

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### **Serious Organised Crime – High Community Impact: LEAD Martin Dennison NYP**

	<b>Action</b>	<b>Who</b>	<b>Progress Update</b>
1	To work collaboratively to disrupt OCG activity by analysing intelligence gathered through the partnership and undertaking a decision making process to develop appropriate partnership action plan	NYP/RDC	
2	Use partnership meetings and activity to proactively gather intelligence and fill gaps	NYP/RDC	



# Audit Progress Report and Sector Update

## **Ryedale District Council**

Year ending 31 March 2019

9 April 2019



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# Introduction

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**Gareth Mills**

**Engagement Lead**

T: 07825 115921

E: [gareth.mills@uk.gt.com](mailto:gareth.mills@uk.gt.com)



**Thilina De Zoysa**

**Engagement Manager**

T: 07500 784 942

E: [thilina.de.zoysa@uk.gt.com](mailto:thilina.de.zoysa@uk.gt.com)

This paper provides the Overview and Scrutiny Committee with a report on progress in delivering our responsibilities as your external auditors.

The paper also includes:

- a summary of emerging national issues and developments that may be relevant to you as a local authority; and
- includes a number of challenge questions in respect of these emerging issues which the Committee may wish to consider (these are a tool to use, if helpful, rather than formal questions requiring responses for audit purposes)

Members of the Overview and Scrutiny Committee can find further useful material on our website, where we have a section dedicated to our work in the public sector. Here you can download copies of our publications [www.grantthornton.co.uk](http://www.grantthornton.co.uk).

If you would like further information on any items in this briefing, or would like to register with Grant Thornton to receive regular email updates on issues that are of interest to you, please contact either Gareth or Thilina.

# Progress as at 9 April 2019

## Financial Statements Audit

We have completed our planning for the 2018-19 financial statements audit and have issued a detailed Audit Plan which was presented to the January Overview and Scrutiny Committee. The Audit Plan sets out our proposed approach to the audit of the Council's 2018-19 financial statements.

Our interim audit visit commenced in March 2019 and continued into April. Our interim fieldwork visit included:

- Reviewing the Council's control environment including journal controls
- Documenting our understanding of key financial systems
- Early work on emerging accounting issues
- Early substantive testing

The main interim audit work completed up to 9 April are set out on pages 6 and 7.

The statutory deadline for the issue of the 2018-19 opinion is 31 July 2019. The final accounts audit is due to begin in June with findings reported to you in the Audit Findings (ISA260) Report by the deadline of 31 July 2019.

## Value for Money

The scope of our work is set out in the guidance issued by the National Audit Office. The Code requires auditors to satisfy themselves that; "the Council has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources".

The guidance confirmed the overall criterion as: "in all significant respects, the audited body had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people".

The three sub criteria for assessment to be able to give a conclusion overall are:

- Informed decision making
- Sustainable resource deployment
- Working with partners and other third parties

Details of our initial risk assessment to determine our approach were included in our Audit Plan presented to the Overview and Scrutiny Committee in January 2019.

We will report our work in the Audit Findings Report and give our Value For Money Conclusion by the deadline in July 2019.

## Other areas

### Meetings

On 8 April, we held productive discussions with the Chief Executive, the s151 Officer and the Monitoring Officer as part of our quarterly liaison meetings. We continue to meet with the senior officers of the Council on a regular basis to inform our on going audit work.

We also continue our discussions with finance staff regarding emerging developments and to ensure the audit process is smooth and effective.

### Events

We provide a range of workshops, along with network events for officers and members in addition to publications to support the Council. Council's key finance staff attended our annual accounts workshop on 5 February.

On 26 February, Overview and Scrutiny Committee member Councillor Jowitt attended a workshop on the roles and responsibilities of audit committees including governance issues, accounting developments and value for money arrangements. We would like to thank Councillor Jowitt for his attendance and contribution to the day.

Further details of the publications that may be of interest to the Council are set out in our Sector Update section of this report.

# Audit Deliverables

2018-19 Deliverables	Planned Date	Status
<b>Fee Letter</b> Confirming audit fee for 2018-19.	April 2018	Complete. This was presented to the Overview and Scrutiny Committee on 25 October 2018.
<b>Accounts Audit Plan</b> We are required to issue a detailed accounts Audit Plan to the Audit Committee setting out our proposed approach in order to give an opinion on the Council's 2018-19 financial statements.	January 2019	Complete. This was presented to the Overview and Scrutiny Committee on 24 January 2019.
<b>Interim Audit Findings</b> We will report our final findings and recommendations from our interim audit within our Progress Report to Overview and Scrutiny Committee in June. We will share our findings and agree on the recommendations with the management before 2018-19 financial closedown in May 2019.	13 June 2019	Our interim findings to date are set out on pages 6 and 7. Final details on our interim work will be presented in June 2019.
<b>Audit Findings (ISA260) Report</b> The Audit Findings Report will be reported to the July Committee.	July 2019	Not yet due
<b>Auditors Report</b> This is the opinion on your financial statements, annual governance statement and value for money conclusion.	July 2019	Not yet due
<b>Annual Audit Letter</b> This letter communicates the key issues arising from our work.	August 2019	Not yet due

# Results of Interim Audit Work

The findings of our interim audit work completed to date, and the impact of our findings on the accounts audit approach, are summarised in the table below:

Audit area	Work performed	Conclusions and recommendations
<b>Entity level controls</b>	<p>We have obtained an understanding of the overall control environment relevant to the preparation of the financial statements, including:</p> <ul style="list-style-type: none"> <li>• Communication and enforcement of integrity and ethical values</li> <li>• Commitment to competence</li> <li>• Participation by those charged with governance</li> <li>• Management's philosophy and operating style</li> <li>• Organisational structure</li> <li>• Assignment of authority and responsibility</li> <li>• Human resource policies and practices.</li> </ul>	<p>We have completed majority of our work in this area and some are to be completed in April 2019.</p> <p>We will report our final findings and recommendations on work performed within our Progress Report to the Overview and Scrutiny Committee on 13 June 2019.</p>
<b>Walkthrough testing</b>	<p>We have completed walkthrough tests of the Council's controls operating in areas where we consider that there is a risk of material misstatement to the financial statements. This includes Property, Plant and Equipment (PPE) and Pensions valuations processes.</p> <p>In addition, we have held discussions with members of staff to obtain an understanding of the business processes and transactions that are significant for your financial statements. These included incomes &amp; receivables, non-pay expenditure, payroll, treasury management, cash and cash equivalents, collection fund and non-domestic rates revenues, grant revenues and housing benefit expenditure.</p>	<p>We have completed majority of our work in this area and some are to be completed in April 2019.</p> <p>We will report our final findings and recommendations on work performed within our Progress Report to the Overview and Scrutiny Committee on 13 June 2019.</p>
<b>Journal entry controls</b>	<p>Our interim audit work on journals is ongoing.</p> <p>To date, we have tested relevant journal controls that would reduce the risk of material misstatements in the financial statements.</p> <p>We have selected our interim journals sample and the sample is currently being collated by the Council. We aim to receive the remainder of the sample and conclude on our interim work during April.</p>	<p>We have completed majority of our work in this area with some elements to be completed by the end of April 2019.</p> <p>We will report our final findings and recommendations on work performed within our Progress Report to the Overview and Scrutiny Committee on 13 June 2019.</p>

# Results of Interim Audit Work (continued)

Audit area	Work performed	Conclusions and recommendations
<b>Review of information technology controls</b>	<p>We performed a high-level review of General Information Technology Controls (GITC) in operation at the Council.</p> <p>This covered at high level a review of technology infrastructure, Batch Scheduling, Incident Management, Security Management and IT maintenance.</p>	<p>Our work has not identified material weaknesses which are likely to adversely impact on the Council's financial statements.</p>
<b>Early substantive testing</b>	<p>As part of our interim audit visit, we selected samples for testing up to month 9 (December 2018) on following audit areas:</p> <ul style="list-style-type: none"> <li>- payroll substantive analytical procedures including starters and leavers testing</li> <li>- operating expenditure (other than payroll costs)</li> <li>- other income.</li> </ul>	<p>We have completed majority of our work in this area with some elements to be completed by the end of April 2019.</p> <p>We will report our final findings and recommendations on work performed within our Progress Report to the Overview and Scrutiny Committee on 13 June 2019.</p>

# Sector Update

Councils are tackling a continuing drive to achieve greater efficiency in the delivery of public services, whilst facing the challenges to address rising demand, ongoing budget pressures and social inequality.

Public Sector

Our sector update provides you with an up to date summary of emerging national issues and developments to support you. We cover areas which may have an impact on your organisation, the wider NHS and the public sector as a whole. Links are provided to the detailed report/briefing to allow you to delve further and find out more.

Our public sector team at Grant Thornton also undertake research on service and technical issues. We will bring you the latest research publications in this update. We also include areas of potential interest to start conversations within the organisation and with audit committee members, as well as any accounting and regulatory updates.

- [Grant Thornton Publications](#)
- [Insights from local government sector specialists](#)
- [Reports of interest](#)
- [Accounting and regulatory updates](#)

More information can be found on our dedicated public sector and local government sections on the Grant Thornton website by clicking on the logos below:

Public Sector

Local  
government

# Public Sector Audit Appointments: Report on the results of auditors' work 2017-18

This is the fourth report published by Public Sector Audit Appointments (PSAA) and summarises the results of auditors' work at 495 principal local government and police bodies for 2017/18. This will be the final report under the statutory functions from the Audit Commission Act 1998 that were delegated to PSAA on a transitional basis.

The report covers the timeliness and quality of financial reporting, auditors' local value for money work, and the extent to which auditors used their statutory reporting powers.

For 2017/18, the statutory accounts publication deadline came forward by two months to 31 July 2018. This was challenging for bodies and auditors and it is encouraging that 431 (87 per cent) of audited bodies received an audit opinion by the new deadline.

The most common reasons for delays in issuing the opinion on the 2017/18 accounts were:

- technical accounting/audit issues;
- various errors identified during the audit;
- insufficient availability of staff at the audited body to support the audit;
- problems with the quality of supporting working papers; and
- draft accounts submitted late for audit.

All the opinions issued to date in relation to bodies' financial statements are unqualified, as was the case for the 2016/17 accounts. Auditors have made statutory recommendations to three bodies, compared to two such cases in respect of 2016/17, and issued an advisory notice to one body.

The number of qualified conclusions on value for money arrangements looks set to remain relatively constant. It currently stands at 7 per cent (32 councils, 1 fire and rescue authority, 1 police body and 2 other local government bodies) compared to 8 per cent for 2016/17, with a further 30 conclusions for 2017/18 still to be issued.

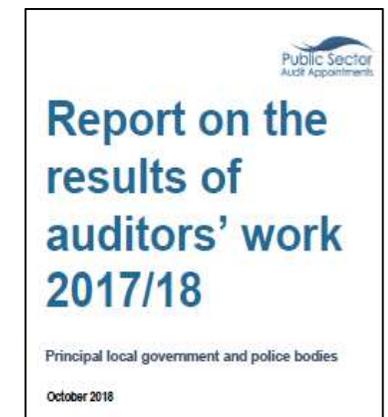
The most common reasons for auditors issuing qualified VFM conclusions for 2017/18 were:

- the impact of issues identified in the reports of statutory inspectorates, for example Ofsted;
- corporate governance issues;
- financial sustainability concerns; and
- procurement/contract management issues.

All the opinions issued to date in relation to bodies' financial statements are unqualified, as was the case for the 2016/17 accounts.

The report is available on the PSAA website:

<https://www.psa.co.uk/audit-quality/reports-on-the-results-of-auditors-work/>



# National Audit Office – Local auditor reporting in England 2018

The report describes the roles and responsibilities of local auditors and relevant national bodies in relation to the local audit framework and summarises the main findings reported by local auditors in 2017-18. It also considers how the quantity and nature of the issues reported have changed since the Comptroller & Auditor General (C&AG) took up his new responsibilities in 2015, and highlights differences between the local government and NHS sectors.

Given increasing financial and demand pressures on local bodies, they need strong arrangements to manage finances and secure value for money. External auditors have a key role in determining whether these arrangements are strong enough. The fact that only three of the bodies (5%) the NAO contacted in connection with this study were able to confirm that they had fully implemented their plans to address the weaknesses reported suggests that while auditors are increasingly raising red flags, some of these are met with inadequate or complacent responses.

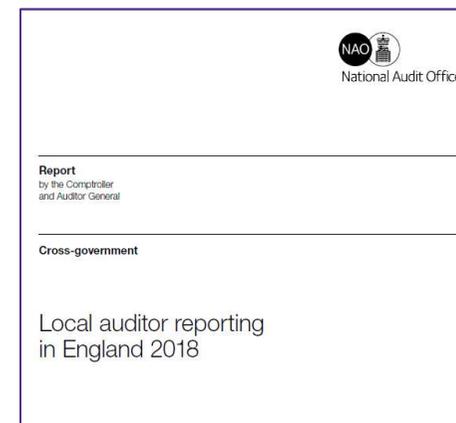
Qualified conclusions on arrangements to secure value for money locally are both unacceptably high and increasing. Auditors qualified their conclusions on arrangements to secure value for money at an increasing number of local public bodies: up from 170 (18%) in 2015-16 to 208 (22%) in 2017-18. As at 17 December 2018, auditors have yet to issue 20 conclusions on arrangements to secure value for money, so this number may increase further for 2017-18.

The proportion of local public bodies whose plans for keeping spending within budget are not fit-for-purpose, or who have significant weaknesses in their governance, is too high. This is a risk to public money and undermines confidence in how well local services are managed. Local bodies need to demonstrate to the wider public that they are managing their organisations effectively, and take local auditor reports seriously. Those charged with governance need to hold their executives to account for taking prompt and effective action. Local public bodies need to do more to strengthen their arrangements and improve their performance.

Local auditors need to exercise the full range of their additional reporting powers, where this is the most effective way of highlighting concerns, especially where they consider that local bodies are not taking sufficient action. Departments need to continue monitoring the level and nature of non-standard reporting, and formalise their processes where informal arrangements are in place. The current situation is serious, with trend lines pointing downwards.

The report is available on the NAO website:

<https://www.nao.org.uk/report/local-auditor-reporting-in-england-2018/>



# National Audit Office – Local authority governance

The report examines whether local governance arrangements provide local taxpayers and Parliament with assurance that local authority spending achieves value for money and that authorities are financially sustainable.

Local government has faced considerable funding and demand challenges since 2010-11. This raises questions as to whether the local government governance system remains effective. As demonstrated by Northamptonshire County Council, poor governance can make the difference between coping and not coping with financial and service pressures. The Department (Ministry of Housing, Communities and Local Government) places great weight on local arrangements in relation to value for money and financial sustainability, with limited engagement expected from government. For this to be effective, the Department needs to know that the governance arrangements that support local decision-making function as intended. In order to mitigate the growing risks to value for money in the sector the Department needs to improve its system-wide oversight, be more transparent in its engagement with the sector, and adopt a stronger leadership role across the governance network

Not only are the risks from poor governance greater in the current context as the stakes are higher, but the process of governance itself is more challenging and complex. Governance arrangements have to be effective in a riskier, more time-pressured and less well-resourced context. For instance, authorities need to:

- maintain tight budgetary control and scrutiny to ensure overall financial sustainability at a time when potentially contentious savings decisions have to be taken and resources for corporate support are more limited; and
- ensure that they have robust risk management arrangements in place when making commercial investments to generate new income, and that oversight and accountability is clear when entering into shared service or outsourced arrangements in order to deliver savings.

Risk profiles have increased in many local authorities as they have reduced spending and sought to generate new income in response to funding and demand pressures. Local authorities have seen a real-terms reduction in spending power (government grant and council tax) of 28.6% between 2010-11 and 2017-18. Demand in key service areas has also increased, including a 15.1% increase in the number of looked after children from 2010-11 to 2017-18. These pressures create risks to authorities' core objectives of remaining financially sustainable and meeting statutory service obligations. Furthermore, to mitigate these fundamental risks, many authorities have pursued strategies such as large-scale transformations or commercial investments that in themselves carry a risk of failure or under-performance.

The report is available on the NAO website:

<https://www.nao.org.uk/report/local-authority-governance-2/>

## NAO Report

### Challenge question:

Has your Authority got appropriate governance and risk management arrangements in place to address the risks and challenges identified in the NAO report?



# ICAEW Report: expectations gap

The Institute of Chartered Accountants in England and Wales (ICAEW) has published a paper on the 'expectation gap' in the external audit of public bodies.

## Context:

The expectation gap is the difference between what an auditor actually does, and what stakeholders and commentators think the auditors obligations might be and what they might do. Greater debate being whether greater education and communication between auditors and stakeholders should occur rather than substantial changes in role and remit of audit.

## What's the problem?

- **Short-term solvency vs. Longer-term value:**
  - LG & NHS: Facing financial pressures, oversight & governance pressures
- **Limited usefulness of auditors reports:** 'The VFM conclusion is helpful, but it is more about the system/arrangements in place rather than the actual effectiveness of value for money'
- **Other powers and duties:** implementing public interest reports in addition to VFM
- **Restricted role of questions and objections:** Misunderstanding over any objections/and or question should be resolved by the local public auditor. Lack of understanding that auditors have discretion in the use of their powers.
- **Audit qualification not always acted on by those charged with governance:** 'if independent public audit is to have the impact that it needs, it has to be taken seriously by those charged with governance'
- **Audit committees not consistently effective:** Local government struggles to recruit external members for their audit committees, they do not always have the required competencies and independence.
- **Decreased audit fees:** firms choose not to participate because considered that the margins were too tight to enable them to carry out a sufficient amount of work within the fee scales.
- **Impact of audit independence rules:** new independence rules don't allow for external auditors to take on additional work that could compromise their external audit role
- **Other stakeholders expectations not aligned with audit standards**

- **Increased auditor liability:** an auditor considering reporting outside of the main audit engagement would need to bill their client separately and expect the client to pay.

## Future financial viability of local public bodies

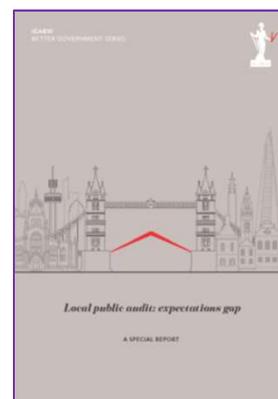
Local public bodies are being asked to deliver more with less and be more innovative and commercial. CFOs are, of course, nervous at taking risks in the current environment and therefore would like more involvement by their auditors. They want auditors to challenge their forward-looking plans and assumptions and comment on the financial resilience of the organisation..

## The ICAEW puts forward two solutions:

Solution a) If CFO's want additional advisory work, rather than just the audit, they can separately hire consultants (either accountancy firms not providing the statutory audit or other business advisory organisations with the required competencies) to work alongside them in their financial resilience work and challenging budget assumptions.

Solution b) Wider profession (IFAC, IAASB, accountancy bodies) should consider whether audit, in its current form, is sustainable and fit for purpose. Stakeholders want greater assurance, through greater depth of testing, analysis and more detailed reporting of financial matters. It is perhaps, time to look at the wider scope of audit. For example, could there be more value in auditors providing assurance reports on key risk indicators which have a greater future-looking focus, albeit focused on historic data?

## More information can be found in the link below (click on the cover page)



# Financial Foresight: Our sustainable solution for cash-strapped councils

Grant Thornton's new Financial Foresight platform helps provide local councils with financial sustainability.

Launched in early January, Financial Foresight is a unique platform that can help us provide financial sustainability to under-pressure local councils, using a combination of data, statistics and our expertise.

**Page 63** In December 2018, the Chartered Institute of Public Finance and Accountancy (CIPFA) estimated that 15% of councils are showing signs of financial distress. If the rate at which these councils are dipping into their financial reserves continues, the National Audit Office estimates that 10% of councils will have depleted their reserves by 2021. The latest figures from our Insights and Analytics team suggest this could be closer to 20%.

Alarm bells started to chime at Somerset, Surrey, Lancashire and Birmingham councils last year. Yet it was the catastrophic near-collapse of Northamptonshire County Council - after it chose for five years not to raise council tax to cover its spiralling costs - that shone the spotlight on this widespread problem.

Unless local councils can get to grips with the situation, we'll all feel the effects of deeper cutbacks in public spending.

## What's causing the problem?

After eight years of government austerity which followed the financial crash of 2008, many councils are now digging deep into their financial reserves in order to provide public services to their communities – from social care to fixing potholes in the road.

Pressure on funding is further impacted by rapidly rising costs – especially for demand-led services as populations grow and age. Within just a few years, many councils will not have any reserves left to fall back on, and some have already said they will be unable to provide any non-statutory services at this time. Overlay Brexit onto this situation, along with the anticipated financial pressures this will bring, and the outlook for local authorities is extremely challenging.

## How can we help?

The investments we have made in analytics coupled with the commercial success of our CFO Insights tool has enabled us to develop credible financial forecasts for every local authority in the country. From this platform we developed Financial Foresight; a unique, forward-looking financial analytics and forecasting platform designed to support financial sustainability in local government.

Financial Foresight takes account of factors such as population growth, development forecasts and demand drivers to project local authority spend, income and operating costs. It provides a baseline view on the financial sustainability of every local authority in England and allows leaders in each authority to benchmark their own outlook against others. This will help councils move on from resilience – or just getting by – to financial sustainability.

Head of Local Government Paul Dossett said: "Through Financial Foresight and our associated strategy workshops, we can support local authorities to test and appraise a range of financial strategies and levers to develop a plan for a sustainable future. The critical importance of authorities understanding their financial resilience is only going to increase, so we're proud to be leading the market with this offering."

For more information, follow the links below:

<https://www.grantthornton.co.uk/en/insights/councils-are-at-risk-but-do-they-really-know-why/>

<https://www.grantthornton.co.uk/en/insights/from-resilience-to-financial-sustainability/>

# Brexit Room - Increasing readiness and resilience within your locality

Local authorities have always navigated uncertainty and faced challenges on behalf of communities and this role has never been more important than now. Whilst the outcome of Brexit remains uncertain at a national level, it is essential for councils to set a path to ensure the continued delivery of vital services and the best possible outcomes for their local communities and economies.

Whatever happens over the coming weeks and months, it is important that councils identify key Brexit scenarios and use these to frame robust local contingency plans.

From our conversations with the sector we know that local authorities are at different stages in their preparation for this big change.

Here's a brief summary of the issues that we are seeing:

## Organisations

- Engaging non-EEA nationals within the workforce to ensure they understand their residency rights and are not receiving incorrect information from other sources
- Loss of access to key EU databases on policing and trading standards and changes to data sharing arrangements
- Uncertainty around continuation of EU funding beyond 2020 and the implementation of the UK Shared Prosperity Fund.

## Services and suppliers

- Engaging with key suppliers to assess their risk profiles and resilience
- Dealing with the immediate strain on key services such as social care and trading standards
- Potential disruption to live procurement activities and uncertainty around the national procurement rulebook post OJEU.

## Place

- Considering scenarios for economic shock, the associated social impact in the short, medium and long-term and the potential impact on local authority financial resilience
- Potential impacts on major local employers, key infrastructure investment programmes and transport improvements
- Civil contingencies and providing reassurance and support to residents and businesses.

## Our approach

The Brexit Room is a flexible and interactive half-day workshop designed to sharpen your thinking on the impact Brexit could have on:

**Your organisation** – including considerations on workforce, funding, and changes to legislation

**Your services and suppliers** – ensuring that critical services are protected and building resilience within supply chains

**Your place** – using our proprietary Place Analytics tools we will help you to understand potential impacts on your local communities and economy and develop a place-based response, working with partners where appropriate.

We can work with you to identify key risks and opportunities in each of these areas whilst building consensus on the priority actions to be taken forward. You will receive a concise and focused write-up of the discussion and action plan to help shape the next stages of your work on Brexit.

For more information, follow the link below:

<https://www.grantthornton.co.uk/insights/brexit-local-leadership-on-the-front-line/>

# A Caring Society – bringing together innovative thinking, people and practice

The Adult Social Care sector is at a crossroads. We have yet to find a sustainable system of care that is truly fit for purpose and for people. Our Caring Society programme takes a step back and creates a space to think, explore new ideas and draw on the most powerful and fresh influences we can find, as well as accelerate the innovative social care work already taking place.

We are bringing together a community of influencers, academics, investors, private care providers, charities and social housing providers and individuals who are committed to shaping the future of adult social care.

At the heart of the community are adult social care directors and this programme aims to provide them with space to think about, and design, a care system that meets the needs of the 21st Century, taking into account ethics, technology, governance and funding.

We are doing this by:

- hosting a 'scoping sprint' to determine the specific themes we should focus on
- running three sprints focused on the themes affecting the future of care provision
- publishing a series of articles drawing on opinion, innovative best practices and research to stimulate fresh thinking.

Our aim is to reach a consensus, that transcends party politics, about what future care should be for the good of society and for the individual. This will be presented to directors of adult social care in Spring 2019, to decide how to take forward the resulting recommendations and policy changes.

## Scoping Sprint (Oct 2018)

Following opening remarks by Hilary Cottam (social entrepreneur and author of Radical Help) and Cllr Georgia Gould (Leader of Camden Council) the subsequent debate identified three themes for Grant Thornton to take forward:

1. Ethics and philosophy: What is meant by care? Should the state love?

2. Care in a place: Where should the power lie? How are local power relationships different in a local place?
3. Promoting and upscaling effective programmes and innovation

## Sprint 1 – What do we really mean by 'Care'? (Dec 2018)

Julia Unwin, Chair of the Civil Societies Futures Project, and Sam Newman of Partners4Change sparked debate on why we need society to be brave enough to talk about care and the different levels at which 'care' can be applied to create a Caring Society.

## Sprint 2 – A new role for the state? (7 Feb 2019)

Donna Hall, CEO of Wigan Council and Andrew of Reform, will start the debate on how can the state – nationally and locally – develop and adapt itself to be in service to a caring society.

### To find out more or get involved:

- Join the conversation at #acaringssociety
- [Why we need to create a caring society](#)
- [Creating a caring society – the start of the debate](#) – the key themes from our first round table
- [Social care must take the starring role in its own story](#) – why the definition of social care is so important if the system is to change
- [Markets, trust & governance](#) – how social care can evolve to become a driver of local care economies
- [The future care leader](#) – Fiona Connolly, director of adult social care at Lambeth, discusses the importance of local care leaders working across the entire health system

# Care Homes for the Elderly – Where are we now?

It is a pivotal moment for the UK care homes market. In the next few months the government is to reveal the contents of its much-vaunted plans for the long-term funding of care for older people.

Our latest Grant Thornton report draws together the most recent and relevant research, including our own sizeable market knowledge and expertise, to determine where the sector is now and understand where it is heading in the future. We have spoken to investors, providers and market consultants to showcase the diversity and innovation that care homes can offer.

Flourishing communities are not a 'nice to have' but an essential part of our purpose of shaping a vibrant economy. Growth simply cannot happen sustainably if business is disconnected from society. That is why social care needs a positive growth framing. Far from being a burden, the sector employs more people than the NHS, is a crucible for technological innovation, and is a vital connector in community life. We need to think about social care as an asset and invest and nurture it accordingly.

There are opportunities to further invest to create innovative solutions that deliver improved tailored care packages to meet the needs of our ageing population.

The report considers a number of aspects in the social care agenda

- market structure, sustainability, quality and evolution
- future funding changes and the political agenda
- the investment, capital and financing landscape
- new funds and methods of finance
- future outlook.

The decline in the number of public-sector focused care home beds is a trend that looks set to continue in the medium-term. However, it cannot continue indefinitely as Grant Thornton's research points to a significant rise in demand for elderly care beds over the coming decade and beyond.

A strategic approach will also be needed to recruit and retain the large number of workers needed to care for the ageing population in the future. Efforts have already begun through education programmes such as Skills for Care's 'Care Ambassadors' to promote social care as an attractive profession. But with the number of nurses falling across the NHS as well, the Government will need to address the current crisis.

But the most important conversation that needs to be had is with the public around what kind of care services they would like to have and, crucially, how much they would be prepared to pay for them. Most solutions for sustainable funding for social care point towards increased taxation, which will generate significant political and public debate. With Brexit dominating the political agenda, and the government holding a precarious position in Parliament, shorter-term funding interventions by government over the medium-term look more likely than a root-and-branch reform of the current system. The sector, however, needs to know what choices politicians, and society as a whole, are prepared to make in order to plan for the future.

Copies of our report can be requested on our website



# In good company: Latest trends in local authority trading companies

Our recent report looks at trends in LATC's (Local Government Authority Trading Companies). These deliver a wide range of services across the country and range from wholly owned companies to joint ventures, all within the public and private sector.

## Outsourcing versus local authority trading companies

The rise of trading companies is, in part, due to the decline in popularity of outsourcing. The majority of outsourced contracts operate successfully, and continue to deliver significant savings. But recent high profile failures, problems with inflexible contracts and poor contract management mean that outsourcing has fallen out of favour. The days of large scale outsourcing of council services has gone.

## Advantages of local authority trading companies

- Authorities can keep direct control over their providers
- Opportunities for any profits to be returned to the council
- Provides suitable opportunity to change the local authority terms and conditions, particularly with regard to pensions, can also bring significant reductions in the cost base of the service
- Having a separate company allows the authority to move away from the constraints of the councils decision making processes, becoming more agile and responsive to changes in demand or funding
- Wider powers to trade through the Localism act provide the company with the opportunity to win contracts elsewhere

## Choosing the right company model

The most common company models adopted by councils are:

Wholly  
owned

Joint  
Ventures

Social  
Enterprise

Wholly owned companies are common because they allow local authorities to retain the risk and reward. And governance is less complicated. Direct labour organisations such as Cormac and Oxford Direct Services have both transferred out in this way.

JVs have become increasingly popular as a means of leveraging growth. Pioneered by Norse, Corserv and Vertas organisations are developing the model. Alternatively, if there is a social motive rather than a profit one, the social enterprise model is the best option, as it can enable access to grant funding to drive growth.

## Getting it right through effective governance

While there are pitfalls in establishing these companies, those that have got it right are: seizing the advantages of a more commercial mind-set, generating revenue, driving efficiencies and improving the quality of services. By developing effective governance they can be more flexible and grow business without micromanagement from the council.

## LATC's need to adapt for the future

- LATC's must adapt to developments in the external environment
  - These include possible changes to the public procurement rules after Brexit and new local authority structures. Also responding to an increasingly crowded and competitive market where there could be more mergers and insolvencies.
- Authorities need to be open to different ways of doing things, driving further developments of new trading companies. Relieving pressures on councils to find the most efficient ways of doing more with less in today's austere climate.

Overall, joint ventures can be a viable alternative delivery model for local authorities. Our research indicates that the numbers of joint ventures will continue to rise, and in particular we expect to see others follow examples of successful public-public partnerships.



[Download the report here](#)

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# Links

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## Grant Thornton website links

<https://www.grantthornton.co.uk/>

<http://www.grantthornton.co.uk/industries/publicsector>

<https://www.grantthornton.co.uk/en/insights/a-caring-society/>

<https://www.grantthornton.co.uk/en/insights/care-homes-where-are-we-now/>

<https://www.grantthornton.co.uk/en/insights/the-rise-of-local-authority-trading-companies/>

## National Audit Office link

<https://www.nao.org.uk/report/the-health-and-social-care-interface/>

<https://www.nao.org.uk/report/local-auditor-reporting-in-england-2018/>

<https://www.nao.org.uk/report/local-authority-governance-2/>

## Ministry of Housing, Communities and Local Government links

<https://www.gov.uk/government/news/social-housing-green-paper-a-new-deal-for-social-housing>

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/728722/BRR\\_Pilots\\_19-20\\_Prospectus.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/728722/BRR_Pilots_19-20_Prospectus.pdf)

## Institute for Fiscal Studies

<https://www.ifs.org.uk/uploads/publications/comms/R148.pdf>

## Public Sector Audit Appointments

<https://www.psa.co.uk/audit-quality/reports-on-the-results-of-auditors-work/>



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<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>17 APRIL 2019</b>
<b>REPORT OF THE:</b>	<b>CHIEF FINANCE OFFICER (s151) - ANTON HODGE</b>
<b>TITLE OF REPORT:</b>	<b>THIRD INTERNAL AUDIT AND COUNTER FRAUD PROGRESS REPORTS 2018/19</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

- 1.1 The report summarises the progress made in delivering internal audit and counter fraud work for 2018/19.

### **2.0 RECOMMENDATION(S)**

- 2.1 It is recommended the Committee note the work undertaken by internal audit and the counter fraud team in the year to date.

### **3.0 REASON FOR RECOMMENDATION(S)**

- 3.1 To enable the Committee to fulfil its responsibility for considering the outcome of internal audit and counter fraud work.

### **4.0 SIGNIFICANT RISKS**

- 4.1 The Council will fail to comply with proper practice requirements for internal audit and the Council's Audit Charter if the results of audit work are not considered by an appropriate Committee.

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

- 5.1 The work on internal audit and counter fraud supports the council's overall aims and priorities by promoting probity, integrity and honesty and by helping support the council to become a more effective organisation.
- 5.2 The work of internal audit is governed by the Accounts and Audit Regulations 2015 and relevant professional standards. These include the Public Sector Internal Audit Standards (PSIAS) and Cipfa guidance on the application of those standards in Local Government. In accordance with the standards, the Head of Internal Audit is required to report on the results of audit work undertaken.

## 6.0 REPORT DETAILS

- 6.1 In the period between 1 April 2018 and 31 March 2019 we have completed six pieces of work. Two reports on Revenue Budgeting and Licensing have been finalised since the last committee. Three draft reports on the Transparency Code, Safeguarding and a second Data Protection and Security visit have also been issued. All of the remaining work in the plan is underway and is on target to be completed to draft report stage by 30 April 2019 (the target date for completion of 2018/19 audits). Further details of work completed and the findings of the finalised audits are included in the report at annex 1.
- 6.2 Audit planning is an ongoing process. PSIAS requires that the Head of Internal Audit must 'review and adjust the plan, as necessary, in response to changes in the organisation's business, risks, operations, programmes, systems, and controls'. A small update to the plan is set out in annex 1, to provide additional time to undertake work required on the Safeguarding audit. The total number of audit days remains unchanged.
- 6.3 Counter fraud work has been undertaken in accordance with the approved plan. Annex 2 provides a summary of the work undertaken in 2018/19 and outcomes to 15 March 2019.

## 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

### **Anton Hodge Chief Finance Officer (s151)**

**Author:** Stuart Cutts Audit Manager.  
Veritau Limited  
**Telephone No:** 01653 600666 (ext 382)  
**E-Mail Address:** [stuart.cutts@veritau.co.uk](mailto:stuart.cutts@veritau.co.uk)

**Author:** Jonathan Dodsworth Counter Fraud Manager.  
Veritau Limited  
**Telephone No:** 01904 552947  
**E-Mail Address:** [jonathan.dodsworth@veritau.co.uk](mailto:jonathan.dodsworth@veritau.co.uk)

**Background Papers:**  
2018/19 Internal Audit and Counter Fraud Plans



**Ryedale District Council**  
**Internal Audit Progress Report**  
**Period to 31 March 2019**

**Audit Manager:** Stuart Cutts  
**Head of Internal Audit:** Max Thomas

**Circulation List:** Members of the Overview and Scrutiny Committee  
Chief Executive  
Chief Finance Officer (s151)

**Date:** April 2019



## **Background**

- 1 The work of internal audit is governed by the Accounts and Audit Regulations 2015 and the Public Sector Internal Audit Standards (PSIAS). In accordance with the PSIAS, the Head of Internal Audit is required to report progress against the internal audit plan agreed by the Committee and to identify any emerging issues which need to be brought to the attention of the Committee.
- 2 Members of this Committee approved the Internal Audit Plan for 2018/19 at their meeting on the 19 April 2018. This report summarises the progress made to date in delivering the agreed programme of work.
- 3 This is the third Internal Audit progress report to be received by the Overview and Scrutiny Committee in 2018/19. It covers audit work completed up to 31 March 2019.

## **Internal Audit work completed**

- 4 In the period between 1 April 2018 and 31 March 2019 we have completed six pieces of work. Two reports on Revenue Budgeting and Licensing have been finalised since the last committee. A summary of those findings is included in appendix B. Three draft reports on the Transparency Code, Safeguarding and a second Data Protection and Security visit have also been issued. Further information on overall progress against the audit plan is included in appendix A.
- 5 All remaining audits in the updated plan have been started, with the exception of contract management (which has been removed from the plan see paragraphs 8 and 9 below). We are on target to have completed and issued draft reports for all relevant audit work by the end of April 2019. We will work with officers to seek to ensure all reports are finalised by the end of May 2019. Further information is included in appendix A.
- 6 Project work in support of Risk Management has been ongoing throughout 2018/19. Work involving facilitating risk workshops and supporting officers preparing service risk registers will continue in 2019/20. We anticipate that work will be completed by the end of June 2019.

## **Audit opinions**

- 7 For most reports we provide an overall opinion on the adequacy and effectiveness of the controls under review. The opinion given is based on an assessment of the risks associated with any weaknesses in controls identified. We also apply a priority to all actions agreed with management. Details of the definitions used are included in appendix C.

## **Changes to the 2018/19 internal audit plan**

- 8 Audit planning is an ongoing process. PSIAS (ref 2010 – planning) requires the Head of Internal Audit to ‘review and adjust the plan, as necessary, in response to changes in the organisation’s business, risks, operations, programmes, systems, and controls’.

- 9 In January 2019 we reported a number of amendments to the audit plan, including 10 days to review safeguarding arrangements. The scope, and level of work, has been broader than initially envisaged and we have agreed with the s151 officer to increase the allocation for the audit to 20 days. To resource this, the planned audit of contract management has been removed from the 2018/19 plan; but will be considered again for inclusion in 2019/20.

### **Follow up of previous audit findings**

- 10 It is important that agreed actions are monitored to ensure management actions have been effectively implemented or that senior management has accepted the risk of not taking action.
- 11 We have no areas of concern to bring to the attention of the committee in relation to follow up of agreed actions, at this time.
- 12 There are some actions from previous audits on Strategic Income, Contract Management and Data Quality which have passed the initial target date for completion. These areas for improvement are now being considered as part of the wider proposed organisational developments (Health-check reviews, new Corporate and Service plans and highlighted as risks in the risk register).
- 13 We will provide to members a detailed 'year-end' position of the outstanding actions from previous audit findings as part of reporting to the July 2019 committee.

### **Wider Internal Audit work**

- 14 In addition to undertaking assurance reviews, Veritau are involved in a number of other areas relevant to corporate matters:
- **Support to the Overview and Scrutiny Committee;** this is mainly ongoing through our attendance at meetings of the Committee and the provision of advice, guidance and training to members as required.
  - **Ongoing support to management and officers;** we meet regularly with management to identify emerging issues and provide advice on a range of specific business and internal control issues. These relationships help to provide real time feedback on areas of importance to the Council.
  - **Risk Management;** Veritau provides support and advice on the Council's risk management arrangements and processes.
  - **Investigations;** We perform special or ad-hoc reviews or investigations into specific issues.

Stuart Cutts  
Audit Manager  
Veritau Ltd

17 April 2019



## Table of 2018/19 audit assignments to 31 March 2019

Area	Status	Assurance Level	Audit Committee
<b>Strategic Risk Register Audits</b>			
Data Quality	cancelled		
HR Performance Management and Training	cancelled		
Health and Safety	cancelled		
Data Protection and Security – visit 1	<b>final report</b>	<b>Substantial Assurance</b>	<b>January 2019</b>
Data Protection and Security – visit 2	draft report		
<b>Fundamental/Material Systems Audits</b>			
Payroll and Personnel	in progress		
Creditors	in progress		
General Ledger	in progress		
Revenue Budgeting	<b>final report</b>	<b>Limited Assurance</b>	<b>April 2019</b>
Treasury Management	in progress		
<b>Operational / Regularity Audits</b>			
Information Technology	in progress		
Contract Management	cancelled		
Transparency Code	draft report		
Community Infra Structure Levy	<b>final report</b>	<b>Reasonable Assurance</b>	<b>January 2019</b>
Development Management	<b>final report</b>	<b>Substantial Assurance</b>	<b>January 2019</b>
Licensing	<b>final report</b>	<b>Reasonable Assurance</b>	<b>April 2019</b>
Safeguarding	draft report		
<b>Projects / other work</b>			
Internal control and s151 responsibilities	<b>completed</b>		
Risk Management support and development	ongoing		
Corporate arrangements 'Health-check' reviews and LGA follow up	ongoing		
NYCC Collaboration	ongoing		
Follow ups	ongoing		

Summary of Key Issues from audits completed to 31 March 2019; not previously reported to Committee

Appendix B

System/Area	Opinion	Area Reviewed	Date Issued	Comments	Management Actions Agreed
Revenue Budgeting	Limited Assurance	<p>The purpose of the audit was to review the revenue budget setting, reporting and monitoring procedures of the Council.</p> <p>Our audit field work was predominantly undertaken between June and September 2018. During that time we became aware of the work on revenue budgeting being undertaken by officers and members following the various budgeting matters highlighted by the 2017/18 under-spend.</p> <p>Changes have and are already taking place to resolve the issues referred to in this report.</p>	March 2019	<p><b>Strengths</b> The issues that emerged as we were completing our work led to significant work by officers, including a detailed review of all budget headings.</p> <p><b>Areas for Improvement</b> Budget setting procedures were not sufficiently rigorous and resulted in un-realistic budgets being set. Salary budget estimates, for example, were included at the top of the grade for each post.</p> <p>Revenue budget monitoring and reporting information was inadequate throughout the organisation. Reporting did not provide meaningful detail on many of the biggest areas of income and expenditure.</p> <p>Budget monitoring information provided by the financial system to budget holders was incorrect for 12 consecutive months until August 2018.</p> <p>Procedures were not in place whereby managers highlighted and provided explanations for budget variances to feed into any corporate monitoring process.</p> <p>Budget holders understanding of the budgets they were responsible for, varied. Some managers would benefit from training if they are to continue to be responsible for budgets.</p>	<p>A review of the budget setting process was undertaken in Autumn 2018.</p> <p>Elected members have been fully involved in a step-by-step budget building process which culminated in Full Council approving the 2019-20 budget on 21 February 2019.</p> <p>Revised budget monitoring arrangements are now in place.</p> <p>Some follow up work will take place between March and July 2019 to look at:</p> <ul style="list-style-type: none"> <li>• The respective roles, responsibilities and expectations of budget managers and finance staff, including training.</li> <li>• Whether Financial Management Information (FMI) reports produced quarterly for the Resources Working Party are required.</li> <li>• Whether revised capital monitoring arrangements are needed.</li> </ul>

System/Area	Opinion	Area Reviewed	Date Issued	Comments	Management Actions Agreed
Licensing	Reasonable Assurance	<p>The purpose of this audit was to review Licensing procedures and controls to ensure:</p> <ul style="list-style-type: none"> <li>• Policies and procedures are robust, resilient and in accordance with legislative requirements.</li> <li>• Applications are processed efficiently with appropriate checks taking place before licences are issued or renewed.</li> <li>• Suitable action is taken by the Council to manage risks and ensure compliance with licence conditions.</li> </ul> <p>This work excluded review of Taxi Licensing (which was subject to separate audit review in 2017/18) and gambling licences of which there is only a small number in the district.</p>	February 2019	<p><b>Strengths</b></p> <p>The Ryedale website contains guidance on all aspects of the licensing process. The information provides clear advice to applicants and interested parties.</p> <p>Internal guidance notes for administrating premises licences and temporary events notices (TENS) are in place.</p> <p>Testing of a sample of premises licences identified no significant issues.</p> <p>An updated Statement of Licensing Policy was due to be approved by full council and become effective by 1 March 2019.</p> <p><b>Areas for Improvement</b></p> <p>The system (spreadsheet) used to process annual premises licence renewals contained a number of data quality issues and errors. This spreadsheet is manually updated and monitored by a single officer. Technology is not being effectively utilised to support service delivery.</p> <p>Risks relating to licensing and compliance with licensing regulations have not been clearly identified or recorded.</p> <p>Internal guidance documents were not currently a comprehensive and easily followed tool for administrating the licensing process.</p>	<p>IDOX specialists completed a review of Ryedale's use of the IDOX system in December 2018. A report was subsequently issued which identified ways the authority could improve their use of the system. These recommendations were to be considered by management by the end of March 2019.</p> <p>Risk management development is ongoing with service level risk identification due to be carried out via future workshops.</p> <p>Currently, if legal support is required for the licensing service queries are referred to Scarborough District Council. The nature and requirements of this legal support is to be clarified by the end of March 2019.</p> <p>Electronic procedure notes and copies of reference documents will be updated and held in a central location to allow for easier access.</p>

### Audit Opinions and Priorities for Actions

#### Audit Opinions

Audit work is based on sampling transactions to test the operation of systems. It cannot guarantee the elimination of fraud or error. Our opinion is based on the risks we identify at the time of the audit.

Our overall audit opinion is based on 5 grades of opinion, as set out below.

Opinion	Assessment of internal control
High Assurance	Overall, very good management of risk. An effective control environment appears to be in operation.
Substantial Assurance	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.
Reasonable Assurance	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 Assurance	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.

#### Priorities for Actions

Priority 1	A fundamental system weakness, which presents unacceptable risk to the system objectives and requires urgent attention by management
Priority 2	A significant system weakness, whose impact or frequency presents risks to the system objectives, which needs to be addressed by management.
Priority 3	The system objectives are not exposed to significant risk, but the issue merits attention by management.



**Ryedale District Council**  
**Counter Fraud Progress Report**  
**Period to 15 March 2019**

**Counter Fraud Manager:** Jonathan Dodsworth  
**Head of Internal Audit:** Max Thomas

**Circulation List:** Members of the Overview and Scrutiny Committee  
Chief Executive  
Chief Finance Officer (s151)

**Date:** April 2019

## **Background**

- 1 Fraud is significant risk to the public sector. Annual losses are estimated to exceed £40 billion in the United Kingdom.
- 2 Councils are encouraged to prevent, detect and deter fraud in order to safeguard public finances.
- 3 Veritau are engaged to deliver a corporate counter fraud service for Ryedale District Council. A corporate counter fraud service aims to prevent, detect and deter fraud and related criminality affecting an organisation. Veritau deliver counter fraud services to the majority of councils in the North Yorkshire area as well as local housing associations and other public sector bodies.

## **Counter Fraud Performance 2018/19**

- 4 Up to 15 March, the counter fraud team achieved £19.7k in savings for the council as a result of investigative work. There are currently 13 ongoing investigations. A summary of counter fraud activity is included in the tables below.

## COUNTER FRAUD ACTIVITY 2018/19

The tables below shows the total number of fraud referrals received and summarises the outcomes of investigations completed during the year to date.

	<b>2018/19 (As at 15/03/19)</b>	<b>2018/19 (Target: Full Year)</b>	<b>2017/18 (Full Year)</b>
% of investigations completed which result in a successful outcome (for example benefit stopped or amended, sanctions, prosecutions).	57%	30%	42%
Amount of actual savings (quantifiable savings - e.g. CTS) identified through fraud investigation.	£19,729	£20,000	£55,161

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**Caseload figures for the period are:**

	<b>2018/19 (As at 15/03/19)</b>	<b>2017/18 (Full Year)</b>
Referrals received	61	71
Referrals rejected	25	24
Number of cases under investigation	13	13 <sup>1</sup>
Number of investigations completed	14	33
Carried forward	64	42

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<sup>1</sup> As at 31/3/18

**Summary of counter fraud activity:**

<b>Activity</b>	<b>Work completed or in progress</b>
Data matching	<p>The 2018/19 National Fraud Initiative is underway. A range of council data was gathered and securely sent to the Cabinet Office for data matching in October. Initial data matches have been released and work on them has begun.</p> <p>The council participated in an NFI Business Rates pilot alongside regional partners in the current financial year. No fraud was detected, but the exercise did identify error within the business rates database which was corrected.</p>
Fraud detection and investigation	<p>The service continues to use criminal investigation techniques and standards to respond to any fraud perpetrated against the council. Activity to date includes the following:</p> <ul style="list-style-type: none"> <li>• <b>Council Tax Support fraud</b> – To date the team has received 28 referrals for possible CTS fraud and over £10,000 of fraud and error has been detected. To date, one person has been prosecuted, three people have been cautioned, issued fines or received a warning for offences in this area. There are currently 7 cases under investigation.</li> <li>• <b>Council Tax/Non Domestic Rates fraud</b> – 31 referrals for council tax fraud have been received in 2018/19. Two people have been given warnings relating to fraud in this area. There are currently 4 cases under investigation.</li> <li>• <b>Internal fraud</b> – There has been one report of internal fraud against the council this year.</li> <li>• <b>External fraud</b> – There has been one report of fraud against the council by external parties in 2018/19.</li> </ul>

<b>Activity</b>	<b>Work completed or in progress</b>
Fraud liaison	The fraud team acts as a single point of contact for the Department for Work and Pensions and is responsible for providing data to support their housing benefit investigations. The team have dealt with 51 requests on behalf of the council in 2018/19.
Fraud Management	<p>In 2018/19 a range of activity has been undertaken to support the Council's counter fraud framework.</p> <ul style="list-style-type: none"> <li>• In May, the council's counter fraud transparency data was updated to include data on counter fraud performance in 2017/18 meeting the council's obligation under the Local Government Transparency Code 2015.</li> <li>• The council participated in the annual CIPFA Counter Fraud and Corruption Tracker (CFaCT) survey in June 2018. The information provided has contributed to a recently released report which provides a national picture of fraud, bribery and corruption in the public sector and the actions being taken to prevent it.</li> <li>• During this year's National Fraud Initiative data gathering exercise, the counter fraud team has confirmed that, as part of the council's legal obligations, privacy notices are in place to facilitate data processing.</li> <li>• As part of International Fraud Week in November, the counter fraud team raised awareness of fraud with staff via intranet articles published throughout that week.</li> <li>• In March a leaflet was included in annual council tax billing which encourages residents to report their suspicions of fraud.</li> <li>• The counter fraud team alerts council departments to emerging local and national threats through a monthly bulletin and specific alerts over the course of the year.</li> </ul>

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**REPORT TO: OVERVIEW AND SCRUTINY COMMITTEE**

**DATE: 17 APRIL 2019**

**REPORT OF THE: CHIEF FINANCE OFFICER (s151) - ANTON HODGE**

**TITLE OF REPORT: INTERNAL AUDIT, COUNTER FRAUD and INFORMATION GOVERNANCE PLANS 2019/20**

**WARDS AFFECTED: ALL**

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

1.1 The work of internal audit is governed by the Public Sector Internal Audit Standards (PSIAS). In accordance with those standards internal audit is required to prepare an audit plan on at least an annual basis. The purpose of this report is to present to members the internal audit plan for 2019/20. The proposed plans of work for counter fraud and information governance are also provided, for information.

### **2.0 RECOMMENDATION**

2.1 It is recommended that the internal audit plan for 2019/20 be approved and the counter fraud and information governance plans be noted.

### **3.0 REASON FOR RECOMMENDATION**

3.1 The Overview and Scrutiny Committee has responsibility for overseeing the work of internal audit and (as stated within paragraph 7.6 of the Council's Audit Charter) this Committee has responsibility to approve the annual internal audit plan.

### **4.0 SIGNIFICANT RISKS**

4.1 The Council will fail to comply with proper practice requirements for internal audit and the Council's Audit Charter if an Annual internal audit plan is not approved.

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

5.1 The work of internal audit supports the council's overall aims and priorities by promoting probity, integrity and honest and by helping support the council to become a more effective organisation.

## 6.0 REPORT DETAILS

- 6.1 Once a year the ongoing audit planning process is formalised with the production of the Annual Internal Audit plan. The plan is based on a risk assessment which helps to ensure limited audit resources are prioritised towards those areas which are considered to be the most appropriate and/or which contribute the most to the achievement of the Council's priorities and objectives.
- 6.2 The content of the audit plan has been subject to consultation with this committee and senior officers. Any changes to the plan during the year will be discussed and agreed through the council's client management arrangements and will be notified to the Committee. A copy of the plan is included in Annex A.
- 6.3 Plans for Counter Fraud and Information Governance are included in Annex B and Annex C. Progress against the Counter Fraud Plan will be reported on a quarterly basis, along with regular updates against the Internal Audit Plan. The Information Governance Plan is included for completeness providing transparency of all three governance services contracted to Veritau.
- 6.4 The internal audit plan includes 225 days, the counter fraud plan 105 days and 25 days for information governance support.

## 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

**Anton Hodge**  
**Finance Manager (s151)**

**Authors:** Stuart Cutts - Audit Manager, Veritau  
E-Mail Address: [stuart.cutts@veritau.co.uk](mailto:stuart.cutts@veritau.co.uk)

Jonathan Dodsworth – Counter Fraud Manager, Veritau  
[jonathan.dodsworth@veritau.co.uk](mailto:jonathan.dodsworth@veritau.co.uk)

Rebecca Bradley; Information Governance Manager; Veritau  
[rebecca.bradley@veritau.co.uk](mailto:rebecca.bradley@veritau.co.uk)

### **Background Papers:**

Public Sector Internal Audit Standards, CIPFA Local Government Application Note (for the United Kingdom Public Sector Internal Audit Standards)  
RDC Counter Fraud Strategy Action Plan (July 2018)

RYEDALE  
DISTRICT  
COUNCIL



# Ryedale District Council

## Internal Audit Plan 2019/20

**Audit Manager:**

Stuart Cutts

**Head of Internal Audit:**

Max Thomas

**Circulation List:**

Members of the Overview and Scrutiny Committee  
Chief Executive  
Section 151 officer

**Date:** April 2019

  
Assurance Services for  
the Public Sector

## Introduction

- 1 This document sets out the planned 2019/20 programme of work for internal audit, provided by Veritau for Ryedale District Council.
- 2 The work of internal audit is governed by the Public Sector Internal Audit Standards. In accordance with those standards and the Council's Audit Charter, internal audit is required to independently form a view on the risks facing the council and prepare an audit plan on at least an annual basis. The work in the audit plan will form the basis for the Head of Internal Audit's annual opinion on the council's framework of Risk Management, Governance and Internal control.
- 3 The 2019/20 internal audit plan has been prepared on the basis of a risk assessment. This helps to ensure limited audit resources are prioritised towards those areas considered to be higher risk, which contribute most to council priorities and objectives, and which will enable an overall opinion to be formed. Risks facing the council and possible areas for audit work have been subject to consultation with senior officers and members of this Committee in January 2019.
- 4 The internal audit plan is submitted for formal approval by the Overview and Scrutiny Committee who are also responsible for monitoring progress against the plan. Changes to the plan during the year will be agreed with the s151 Officer and will be notified to this committee. Proposed work is also discussed with the Council's external auditors to ensure there is no duplication of effort. We will provide regular updates on the scope and findings of our work to the Overview and Scrutiny Committee throughout 2019/20.
- 5 The internal audit plan is based on a total number of 225 days for 2019/20 which is the same as in 2018/19

## 2019/20 Internal Audit Plan

- 6 The plan has been structured into the following sections:
  - **Strategic Risks;** this work involves reviewing areas highlighted as specific audit risks which are included in the Council's risk register.
  - **Fundamental/Material Systems;** Work will help provide assurance internal controls for these key systems are working effectively and the risks of loss are minimised.
  - **Other;** Work on Assurance Mapping and some time for emerging risks.
  - **Operational/Regularity Audits;** This work will cover some of the governance frameworks which the Council rely on to provide assurance that key areas of the business are operating effectively.
  - **Client support, Advice and Follow Up;** This includes ongoing support and advice to the Council on risk and control issues, work to provide assurance that findings from previous audits have been addressed, and time necessary to support the delivery of the internal audit service.

## Internal Audit Plan 2019/20

### Strategic Risks

Risk No	Risk Area	Audit	Scope	Days
CRR 02	Resilience and Capacity	Human Resources	A review of key HR risks, to provide support and challenge to proposed organisational improvements. The specific areas for review will be agreed with the HR Lead during 2019/20.	15
CRR 03	Strategic Planning	Data Quality – Health and Safety	A review of the systems for ensuring data quality on key performance data. This audit will consist of a deep dive into Health and Safety data quality, which has been identified as a key corporate risk.	15
CRR 05	Financial Management	Revenue and Capital Budgeting	A review of the effectiveness and quality of in-year budget monitoring and in-year forecasting for revenue and capital budgets.	15
CRR 06	Information Governance	Data Protection and Information Security	To undertake unannounced visits to establish the extent to which the Council's expectations of data security of sensitive information, including the clear desk policy are being followed.	8
CRR 07	ICT	ICT – key risks and controls	A 'deep dive' into ICT governance and strategy, and supporting service delivery. Any other specific areas for review will be agreed with Strategic Management Board during the year.	15
CRR 08	Contracts and Procurement	Contract Management and Procurement	A review of the operation and effectiveness of the Council's procurement arrangements and management of contracting. The work will include a review of corporate procurement and contracting procedures.	15

**Fundamental/Material Systems**

<b>Audit</b>	<b>Scope</b>	<b>Days</b>
Payroll and Personnel	To build on the work from 2018/19 (documenting the operation of the new Payroll and Personnel procedures and assessing the existence and robustness of current key controls). Work in 2019/20 will focus on key areas of risk and include, where appropriate, testing of the application of relevant key controls for application and effectiveness.	15
Terms and Conditions	A review of payroll payments to ensure these are being monitored effectively, being used and managed appropriately and in line with Council rules, terms and conditions, and that statutory obligations are being followed.	10
Creditors	To review the key risks/controls surrounding the payment of creditor invoices. The work will include a review of all creditor payments for the risk of potential duplicate payments using data analytics software.	10
		<b>35</b>

**Other**

<b>Audit</b>	<b>Scope</b>	<b>Days</b>
Assurance Mapping	Assurance Mapping is a tool by which senior management as well as auditors can understand, document and assess what key levels of assurance an organisation has/ does not have. The development of Assurance Mapping at Ryedale District Council was raised as an area of development from the external Public Sector Internal Audit Standards (PSIAS) assessment in 2018.	8
Contingency	An allocation of time to be used on areas of emerging risk.	10
		<b>18</b>

**Operational/Regularity Audits**

<b>Audit</b>	<b>Scope</b>	<b>Days</b>
Risk Management	A review of the effectiveness of how risks are being managed. Work will include review of service risk registers.	15
Policy Framework	A review of the arrangements in place and the extent to which, the Council's policy framework is in place and being updated.	15
Relationships and agreements with other bodies	A review of the governance and internal control arrangements for areas where other bodies provide services for the Council. This audit will look at arrangements with Scarborough Borough Council. We will ensure there is no duplication with scrutiny work being carried out by the Committee.	15

**45****Client Support, Advice and Follow up**

<b>Area</b>	<b>Days</b>
Committee Preparation and Attendance	12
Audit Planning and Client Liaison	10
Follow up of previous years findings	12
Miscellaneous Advice	8
Other (e.g. External Audit Liaison, Member and Officer Training)	2

**44****TOTAL PLANNED DAYS 225**

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# Ryedale District Council

## Counter Fraud Plan 2019/20

**Counter Fraud Manager:** Jonathan Dodsworth  
**Deputy Head of Internal Audit:** Richard Smith

**Circulation List:** Members of the Overview and Scrutiny Committee  
Chief Finance Officer (s151)

**Date:** April 2019



## Introduction

- 1 Veritau undertakes counter fraud work on behalf of Ryedale District Council. This document summarises the agreed areas of counter fraud work for 2019/20.
- 2 The Counter Fraud Plan is based on an estimate of the amount of resource required to provide the range of counter fraud activities required by the council. A total of 105 days of counter fraud work has been agreed for 2019/20.

## 2019/20 Counter Fraud Plan

- 3 A summary of planned areas of work is set out in the table below.

<b>Fraud Area</b>	<b>Scope</b>
Counter Fraud General	Monitoring changes to regulations and guidance, review of counter fraud risks, and support to the council with maintenance of the counter fraud framework. This will include completion of the annual counter fraud risk assessment and review of the counter fraud policy and strategy.
Proactive Work	This includes: <ul style="list-style-type: none"><li>• raising awareness of counter fraud issues and procedures for reporting suspected fraud - for example through training and provision of updates on fraud related issues</li><li>• targeted proactive counter fraud work - for example through local and regional data matching exercises</li><li>• support and advice on cases which may be appropriate for investigation and advice on appropriate measures to deter and prevent fraud.</li></ul>
Reactive Investigations	Investigation of suspected fraud affecting the council. This includes feedback on any changes needed to procedures to prevent fraud recurring.
National Fraud Initiative (NFI)	Coordinating submission of data to the Cabinet Office for the NFI national fraud data matching programme and investigation of subsequent matches.
Fraud Liaison	Acting as a single point of contact for the Department for Work and Pensions, to provide data to support their housing benefit investigations.



# Ryedale District Council

## Information Governance Plan 2019/20

**Information Governance Manager:** Rebecca Bradley  
**Head of Internal Audit:** Max Thomas

**Circulation List:** Members of the Overview and Scrutiny Committee  
Chief Finance Officer (s151)

**Date:** April 2019



## Introduction

- 1 Veritau undertakes information governance work on behalf of Ryedale District Council. Veritau is also the Council's appointed statutory Data Protection Officer which involves the carrying out of specific functions. The service helps to ensure the Council complies with all relevant legislation, including the General Data Protection Regulation (GDPR), Data Protection Act 2018 and Freedom of Information Act 2000. This document summarises the agreed areas of work for 2019/20.
- 2 The Information Governance Plan is based on an estimate of the amount of resource required to provide the range of activities required by the Council. A total of 25 days of information governance work has been agreed for 2019/20.

## 2019/20 Information Governance Plan

- 3 The following table provides an indicative allocation of time across each element of the service:

Area	Days	Scope
<b>Data Protection Officer Role</b>	5 Days	Monitoring compliance with the Council's policy framework and data protection legislation (including undertaking a programme of audits) as Data Protection Officer.  This also includes liaising with the UK Information Governance regulator: the Information Commissioner's Office (ICO) and with data subjects who have concerns with how their data is being processed.
<b>Information Governance Strategy and Support</b>	15 Days	Developing the Council's policy framework, advising on the implementation of new information governance processes and supporting service area projects with information governance consultations.
<b>Provision of Advice and Training</b>	5 Days	The provision of advice and guidance on all information governance related matters.  Supporting service managers by providing specific information governance training sessions to officers.

## **2019/20 Information Governance Strategic Objectives**

- 4 The following strategy objectives will be delivered by Veritau in 2019/20:

### *Review of Information Governance Policy Framework*

- 5 The Council is required to demonstrate compliance with the six data protection principles by maintaining a framework of Information Governance Policies. A new Information Governance Policy framework was adopted in 2018/19.

This piece of work will assess the effectiveness of the policies and will ensure that updates to legislation and regulatory guidance, introduced since the policy implementation, are reflected in the policies.

### *Information Asset Management*

- 6 The Council is required to maintain 'Records of Processing'. The Council established an information asset register in 2018/19 to comply with this requirement. Veritau will work with service managers to refine and expand this register in 2019/20. This will give better oversight of processing activity in each service area.
- 7 As part of the work on developing the Council's information asset register a comprehensive list of other data controllers who may receive data from the Council has been compiled. Veritau will work with service managers to ensure that these data sharing arrangements are formalised through information sharing agreements as per the requirements of the North Yorkshire Information Sharing Protocol which the Council is a signatory to.
- 8 A process map detailing how this work will be undertaken can be found in Appendix 1 of this report.

### *Transparency*

- 9 Veritau will work with service managers to ensure that necessary information is published in accordance with legislative requirements. This includes local government specific datasets, privacy notices, and consent forms.

## **2019/20 Information Governance Compliance Review**

- 10 An information governance compliance review will be conducted in 2019/20. This review will focus on specific requirements of the General Data Protection Regulation (GDPR) and Data Protection Act 2018 which came into force in the UK in May 2018.
- 11 A key element of the compliance review will be to cross check contracts declared on the corporate information asset register against the Council's contracts register. This will identify where data processing arrangements are in existence and to ensure that contracts have been suitably varied to include adequate GDPR contractual clauses.

- 12 The outcomes of the compliance review will be published in a report which will determine the information governance strategic objectives for 2020/21.

### **2019/20 Information Governance Training Provision**

- 13 The following information governance themes will be covered by specific Veritau delivered training in 2019/20:

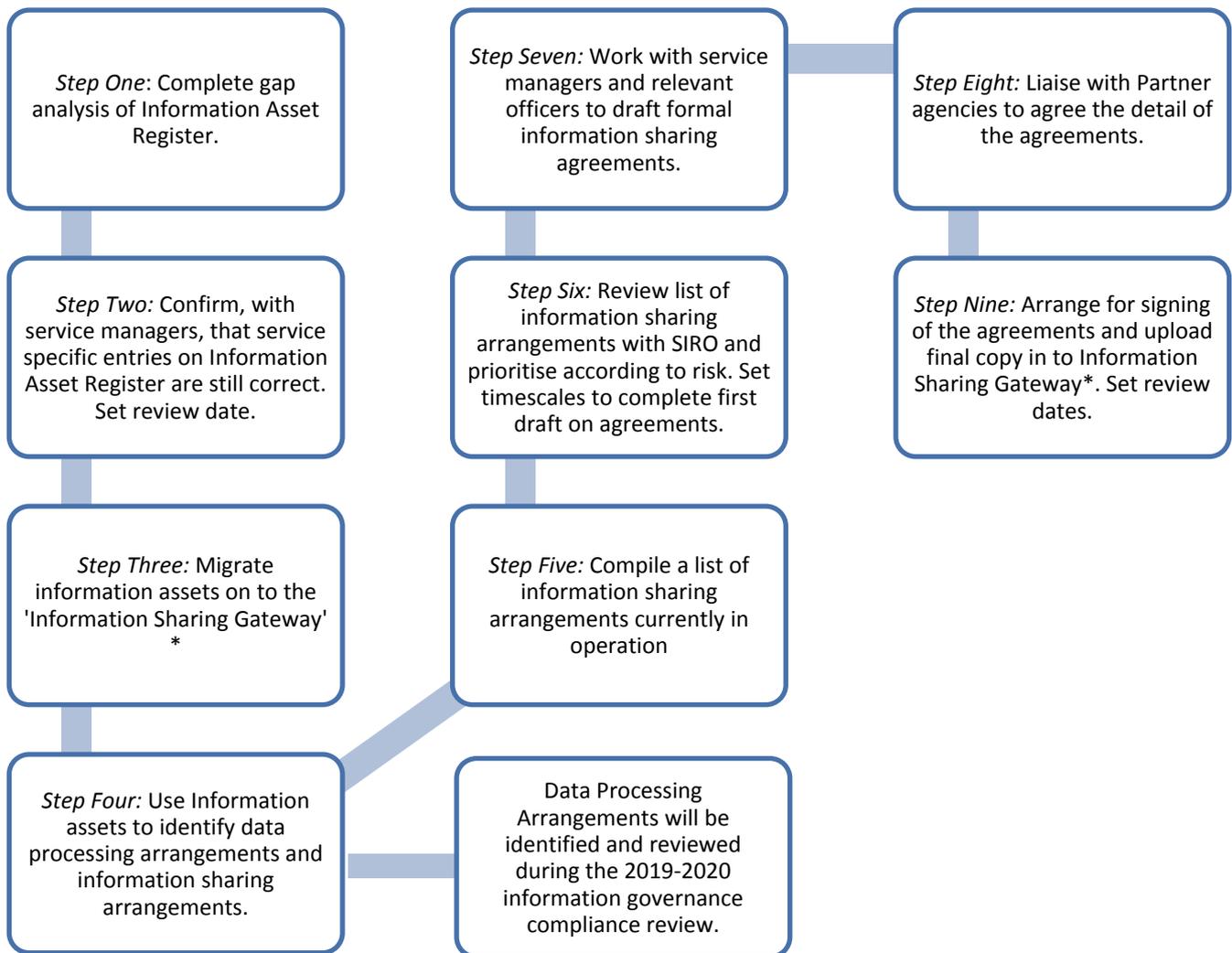
#### *Records Management*

- 14 Delegates will be introduced to Records Management concepts and tools including: the Records Lifecycle, benefits of Records Management, file plans, email management, retention and Information Asset Registers.

#### *Data Protection Rights and Principles*

- 15 Delegates will be introduced to the six data protection principles and the various rights that data subjects have with regards to their personal data. This session will focus on transparency and accountability.

## Appendix 1: Process Map detailing development of Information Sharing Agreements across the Council.



\* The 'Information Sharing Gateway' is an online framework to support information sharing across a number of organisations. A number of organisations in North Yorkshire are working together to use the gateway to integrate their depositories of information sharing agreements and create a detailed information flow map across the County.

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## Overview and Scrutiny Committee Forward Plan 2019-20

Date of Meeting	Committee	A/B	Service Area	Report Title	Draft Deadline	Final Deadline	Draft Press Release	Implement Date	Full Council	Reporting Officer	Annual Y/N
<b>May</b>											
<b>June</b>											
13-Jun-19	Overview and Scrutiny Committee	A	Legal Services	Role of Scrutiny Committee	22-May-19	04-Jun-19				AW	N
13-Jun-19	Overview and Scrutiny Committee	A	Legal Services	Appointment of Members to Standards Sub-Committee	22-May-19	04-Jun-19				AW	N
13-Jun-19	Overview and Scrutiny Committee	OS	Delivery & Frontline Services	Review of Workplan	22-May-19	04-Jun-19				WB	Y
13-Jun-19	Overview and Scrutiny Committee	Au	Financial Services	Draft Annual Governance Statement 2018/19	22-May-19	04-Jun-19				AH	Y
13-Jun-19	Overview and Scrutiny Committee	OS	CMT	Delivering the Council Plan	22-May-19	04-Jun-19				WB	Y
13-Jun-19	Overview and Scrutiny Committee	OS	Customer Services	Customer Complaints and Compliments Q4 2018/19	22-May-19	04-Jun-19				AJ	Y
13-Jun-19	Overview and Scrutiny Committee	OS	CMT	Attendance at Policy Committees	22-May-19	04-Jun-19				SC	Y
13-Jun-19	Overview and Scrutiny Committee	OS	CMT	Appointment of Corporate Governance Standards Sub-Committee	22-May-19	04-Jun-19				AW	Y
13-Jun-19	Overview and Scrutiny Committee	OS	CMT	Scrutiny Reviews - Progress Report and Identification of Topic for Future Review	22-May-19	04-Jun-19				BB	Y
<b>July</b>											
24-Jul-19	Overview and Scrutiny Committee	OS	Delivery & Frontline Services	Review of Workplan	02-Jul-19	15-Jul-19				WB	Y

Date of Meeting	Committee	A/B	Service Area	Report Title	Draft Deadline	Final Deadline	Draft Press Release	Implement Date	Full Council	Reporting Officer	Annual Y/N
24-Jul-19	Overview and Scrutiny Committee	OS	CMT	Feedback on Outside Bodies	02-Jul-19	15-Jul-19				SC	Y
24-Jul-19	Overview and Scrutiny Committee	Au	Financial Services	Internal Audit and Counter Fraud Annual Report 2018/19	02-Jul-19	15-Jul-19				Veritau	Y
24-Jul-19	Overview and Scrutiny Committee	Au	Financial Services	Counter Fraud Framework Update	02-Jul-19	15-Jul-19				Veritau	Y
24-Jul-19	Overview and Scrutiny Committee	OS	Financial Services	Statement of Accounts 2018/19	02-Jul-19	15-Jul-19				AH	Y
24-Jul-19	Overview and Scrutiny Committee	A	Financial Services	Risk Management	02-Jul-19	15-Jul-19				AH	Y
<b>August</b>											
<b>September</b>											
<b>October</b>											
03-Oct-19	Overview and Scrutiny Committee	OS	Delivery & Frontline Services	Review of Workplan	11-Sep-19	24-Sep-19				WB	Y
03-Oct-19	Overview and Scrutiny Committee	OS	CMT	Delivering the Council Plan	11-Sep-19	24-Sep-19				WB	Y
03-Oct-19	Overview and Scrutiny Committee	OS	CMT	LGO Annual Review Letter 2019	11-Sep-19	24-Sep-19				AJ	Y
03-Oct-19	Overview and Scrutiny Committee	OS	Customer Services	Customer Complaints and Compliments Q1 2019-20	11-Sep-19	24-Sep-19				AJ	Y
03-Oct-19	Overview and Scrutiny Committee	OS	CMT	Scrutiny Reviews Progress Report	11-Sep-19	24-Sep-19				BB	Y
24-Oct-19	Overview and Scrutiny Committee	OS	Delivery & Frontline Services	Review of Workplan	02-Oct-19	15-Oct-19				WB	Y
24-Oct-19	Overview and Scrutiny Committee	Au	Financial Services	Grant Thornton Annual Audit Letter 2018/19	02-Oct-19	15-Oct-19				GT	Y

Date of Meeting	Committee	A/B	Service Area	Report Title	Draft Deadline	Final Deadline	Draft Press Release	Implement Date	Full Council	Reporting Officer	Annual Y/N
24-Oct-19	Overview and Scrutiny Committee	Au	Financial Services	Grant Thornton Audit Progress Report and Sector Update	02-Oct-19	15-Oct-19				GT	Y
24-Oct-19	Overview and Scrutiny Committee	Au	Financial Services	2019/20 External Audit Fee Letter	02-Oct-19	15-Oct-19				GT	Y
24-Oct-19	Overview and Scrutiny Committee	Au	Financial Services	Annual Update of the Internal Audit Charter	02-Oct-19	15-Oct-19				Veritau	Y
24-Oct-19	Overview and Scrutiny Committee	Au	Financial Services	First Internal Audit and Counter Fraud Progress Reports 2019/20	02-Oct-19	15-Oct-19				Veritau	Y
24-Oct-19	Overview and Scrutiny Committee	Au	Financial Services	Treasury Management Annual Report 2018-19	02-Oct-19	15-Oct-19				AH	Y
24-Oct-19	Overview and Scrutiny Committee	Au	Financial Services	Treasury Management Mid-Year Review	02-Oct-19	15-Oct-19				AH	Y
24-Oct-19	Overview and Scrutiny Committee	Au	CMT	Timetable of Meetings 2020-21	02-Oct-19	15-Oct-19				SC	Y
24-Oct-19	Overview and Scrutiny Committee	Au	Financial Services	Corporate Risk Management Update	02-Oct-19	15-Oct-19				AH	Y
24-Oct-19	Overview and Scrutiny Committee	A	Legal Services	Standards Complaint Overview and Annual Report	02-Oct-19	15-Oct-19				AW	Y
<b>November</b>											
21-Nov-19	Overview and Scrutiny Committee	OS	Delivery & Frontline Services	Review of Workplan	30-Oct-19	12-Nov-19				WB	Y
21-Nov-19	Overview and Scrutiny Committee	OS	CMT	Delivering the Council Plan	30-Oct-19	12-Nov-19				WB	Y
21-Nov-19	Overview and Scrutiny Committee	OS	Customer Services	Customer Complaints and Compliments Q2 2019-20	30-Oct-19	12-Nov-19				AJ	Y
21-Nov-19	Overview and Scrutiny Committee	OS	Customer Services	Safer Ryedale Progress Update	30-Oct-19	12-Nov-19				AJ	Y

Date of Meeting	Committee	A/B	Service Area	Report Title	Draft Deadline	Final Deadline	Draft Press Release	Implement Date	Full Council	Reporting Officer	Annual Y/N
21-Nov-19	Overview and Scrutiny Committee	OS	Delivery & Frontline Services	Scrutiny Reviews Progress Report	30-Oct-19	12-Nov-19				BB	Y
21-Nov-19	Overview and Scrutiny Committee	A	Financial Services	Risk Management	30-Oct-19	12-Nov-19				AH	Y
<b>December</b>											
<b>January</b>											
23-Jan-20	Overview and Scrutiny Committee	OS	Delivery & Frontline Services	Review of Workplan	01-Jan-20	14-Jan-20				WB	Y
23-Jan-20	Overview and Scrutiny Committee	Au	Financial Services	Grant Thornton Certification of Grant Claim - Annual Report	01-Jan-20	14-Jan-20				GT	Y
23-Jan-20	Overview and Scrutiny Committee	Au	Financial Services	Grant Thornton Audit Plan	01-Jan-20	14-Jan-20				GT	Y
23-Jan-20	Overview and Scrutiny Committee	Au	Financial Services	Grant Thornton Technical Update	01-Jan-20	14-Jan-20				GT	Y
23-Jan-20	Overview and Scrutiny Committee	Au	Financial Services	Internal Audit Progress Report	01-Jan-20	14-Jan-20				Veritau	Y
23-Jan-20	Overview and Scrutiny Committee	Au	Financial Services	Internal Audit Plan - Consultation	01-Jan-20	14-Jan-20				Veritau	Y
23-Jan-20	Overview and Scrutiny Committee	Au	Financial Services	Treasury Management and Investment Strategy	01-Jan-20	14-Jan-20				AH	Y
23-Jan-20	Overview and Scrutiny Committee	OS	CMT	Delivering the Council Plan	01-Jan-20	14-Jan-20				WB	Y
23-Jan-20	Overview and Scrutiny Committee	OS	Customer Services	Customer Complaints and Compliments Q3 2019/20	01-Jan-20	14-Jan-20				AJ	Y
23-Jan-20	Overview and Scrutiny Committee	OS	Delivery & Frontline Services	Scrutiny Review Progress Report	01-Jan-20	14-Jan-20				BB	Y

Date of Meeting	Committee	A/B	Service Area	Report Title	Draft Deadline	Final Deadline	Draft Press Release	Implement Date	Full Council	Reporting Officer	Annual Y/N
23-Jan-20	Overview and Scrutiny Committee	A	Legal Services	Report on the use of RIPA Powers by the District Council	01-Jan-20	14-Jan-20				AW	Y
<b>February</b>											
13-Feb-20	Overview and Scrutiny Committee	OS	Delivery & Frontline Services	Review of Workplan	22-Jan-20	04-Feb-20				WB	Y
<b>March</b>											
26-Mar-20	Overview and Scrutiny Committee	OS	Delivery & Frontline Services	Review of Workplan	04-Mar-20	17-Mar-20				WB	Y
26-Mar-20	Overview and Scrutiny Committee	OS	Customer Services	Safer Ryedale Annual Report	04-Mar-20	17-Mar-20				AJ	Y
26-Mar-20	Overview and Scrutiny Committee	OS	Delivery & Frontline Services	Scrutiny Reviews Progress Report	04-Mar-20	17-Mar-20				BB	Y
<b>April</b>											
23-Apr-20	Overview and Scrutiny Committee	OS	Delivery & Frontline Services	Review of Workplan	01-Apr-20	14-Apr-20				WB	Y
23-Apr-20	Overview and Scrutiny Committee	Au	Financial Services	Internal Audit and Counter Fraud Progress Report 2019/20	01-Apr-20	14-Apr-20				Veritau	Y
23-Apr-20	Overview and Scrutiny Committee	Au	Financial Services	Internal Audit, Counter Fraud and Information Governance Plans 2020-21	01-Apr-20	14-Apr-20				Veritau	Y
23-Apr-20	Overview and Scrutiny Committee	Au	Financial Services	Grant Thornton Audit Progress Report and Sector Update	01-Apr-20	14-Apr-20				GT	Y

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