

OVERVIEW AND SCRUTINY COMMITTEE

Thursday 16 December 2010 at 6.30 pm

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

Agenda

- 1 **Apologies for absence**
- 2 **Minutes of the meeting held on the 7 October 2010** (Pages 1 - 8)
- 3 **Urgent Business**
To receive notice of any urgent business which the Chairman considers should be dealt with at the meeting as a matter of urgency by virtue of Section 100B(4)(b) of the Local Government Act 1972.
- 4 **Declarations of Interest**
Members to indicate whether they will be declaring any interests under the Code of Conduct.

Members making a declaration of interest at a meeting of a Committee or Council are required to disclose the existence and nature of that interest. This requirement is not discharged by merely declaring a personal interest without further explanation.
- 5 **Annual Audit Letter on the 2009/10 Audit** (Pages 9 - 20)
- 6 **Service Risk Register for Planning Services** (Pages 21 - 30)
- 7 **Treasury Management Mid Year Review 2010/11** (Pages 31 - 38)
- 8 **Internal Audit Report - Quarter 2** (Pages 39 - 50)

- 9 **Customer Complaints received July to September 2010** (Pages 51 - 58)
- 10 **Police Reform and Social Responsibility Bill Summary** (Pages 59 - 62)
- 11 **Risk Management Strategy Annual Review** (Pages 63 - 78)
- 12 **Scrutiny Reviews Progress Report - Healthy Weights & Post Office Closures**
(Pages 79 - 86)
- 13 **Decisions from other Committees**
Commissioning Board Services held on 8 December 2010 (to follow)
Policy and Resources held on 9 December 2010 (to follow)
- 14 **Any other business that the Chairman decides is urgent.**

Overview and Scrutiny Committee

Held at Members' Lounge, Ryedale House, Malton
on Thursday 7 October 2010

Present

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

In Attendance

Audrey Adnitt, Paul Cresswell, Phil Long, Louise Sandall, Clare Slater, James Ingham, Trevor Anderson, Mr A Lince and Mr J Ritchie (Deloittes)

Minutes

33 **Apologies for absence**

Apologies were received from Councillors Andrews and Raper.

34 **Minutes of the meeting held on the 19 August 2010**

The minutes of the meeting of the Overview & Scrutiny Committee held on the 19 August 2010 were presented.

Resolved

That the minutes of the meeting of the Overview & Scrutiny Committee held on the 19 August 2010 be approved and signed by the Chairman as a correct record.

The first Task Group meeting for the Healthy Weight Group was to be held at 6.30pm on Monday 22 November 2010. This meeting would include a presentation from the Primary Care Trust. Councillors Cottam, Clark Raper and Mrs Shields had all joined this task group, but all Members would be welcome to attend.

The first Task Group meeting for the Post Office Closure Group was to be arranged and all Members would be notified shortly, Councillors Andrews, Windress and Mrs Shields had all joined this task group but all Members would be welcome to attend.

35 **Urgent Business**

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

36 **Declarations of Interest**

No declarations of interest were received.

37 **External Auditors Report to Members on the 2010 Audit**

The Corporate Director (s151) submitted a report produced by the External Auditors Deloitte: A final report to the Members on the 2010 Audit.

Mr Lince and Mr Ritchie from Deloitte's attended the meeting and presented their report, and answers queries raised by the Committee in relation to car park revenue, pensions and debt provision.

The report provided detailed information on the following key findings:

- Key audit risks
- Other issues
- Accounting policies and financial reporting
- Corporate Governance review and our responsibilities
- Value for Money conclusion
- Responsibility Statement

The report also highlighted areas where significant progress had been made, particularly in relation to bad debt provision.

Resolved

That the report be received.

38 **Town Hall Roof Repairs Update**

The Head of Environment submitted a report (previously circulated), in order to provide an update on the position regarding the repairs to the roof and stonework at the former Town Hall, Malton.

The report had been requested at the last meeting of the Overview & Scrutiny Committee on the 19 August 2010, and outlined the history of the project, the reasons for the delays to the work and the progress to date, along with the financial implications.

The report was discussed in details, and queries were raised relating to the cost of the roof works, which had been significantly reduced following the re-tendering. Councillor Cottam also asked when the stonework repairs would be carried out, and progress was expected to be made on this work in the next few months.

Resolved

That the report be noted.

39 **Service Risk Register for Organisational Development**

The Head of Organisational Development submitted an updated Service Risk Register for the department, since it had last been presented to the Overview & Scrutiny Committee on the 6 August 2009.

Risk identification and management formed an integral element of organisational management to secure the achievement of the Council's corporate objectives and should form a key part of any budget making decision.

The Head of Organisational Development highlighted the areas of significant risk, and gave details of the procedures in place to mitigate those risks.

Resolved

That the report be noted.

40 **Half Yearly Risk Management Actions Monitoring Report**

The Head of Transformation submitted a report (previously circulated) in order to present the latest monitoring report for the Council's corporate risks.

The Corporate Risk register should identify those risks that would prevent the Council from achieving the Council Plan, and therefore the Sustainable Community Strategy – Imagine Ryedale. The management team monitored the actions as part of the risk management cycle and this enabled the Corporate Risk Register to be a living document. Detailed actions and monitoring also assisted in the revision of the register, which was undertaken during the year.

The report was discussed at length, and clarification was sought on the meaning of the term 'Unbalanced Housing Market'. Councillor Clark expressed his concerns in relation to risks involved in partnership working, particularly when not the lead authority, and he requested that partnerships be considered further in the future.

Resolved

- a) That the report be received.
- b) That the meaning of the term 'unbalanced housing market' be supplied to all Members of the Committee.

- c) That the Member training session on 'Partnerships' scheduled for November, include the members role on partnership boards, and partnership models.

41 **Annual Governance Statement Action Plan**

The Corporate Director (s151) submitted a report, (previously circulated) in order to update Members on the progress with the actions identified in the 2009-10 Annual Governance Statement Action Plan.

Members were advised that the purpose of the Annual Governance Statement (AGS) was to provide a continuous review of the effectiveness of the organisation's internal control and risk management systems in order to give assurance on their effectiveness. This allowed remedial action to take place at the earliest opportunity, thereby improving the internal control framework.

The Action Plan appended to the report set out the current position with comments on the actions proposed in the plan. It was noted that the AGS for 2010/11 would be reported to the committee in June and would complete the reviews of this action plan as they would be incorporated into the action plan for the 2010/11 AGS.

In relation to the issues raised on the previous action plan update, Members were pleased to note that outstanding work on the Asset Management Register had been completed, but were of the opinion that further progress was required in relation to role of the Member Champions.

Resolved

That the report be noted.

42 **Crime and Disorder Future Arrangements**

The Head of Transformation submitted a report (previously circulated) in order to present the committee with the options for the future operation of the Crime and Disorder Committee.

The Crime & Disorder (Overview & Scrutiny) Regulations 2009 were attached at annex A, and covered the following areas:

- Co-option
- Frequency
- Information
- Attendance
- Reports and Recommendations

The Committee had decided how it wished to operate to meet most of the regulations, however there were two outstanding items to be resolved in

relation to co-option of members from responsible authorities, and the format and frequency of the information it wished to receive.

The North Yorkshire Police authority had recommended that all District Councils co-opt a member of the Police Authority onto the Committee to act in the role as expert advisor on any matters relating to the performance of the police.

The requirement to co-opt a member of the police authority onto the Ryedale Crime & Disorder committee had been discussed at a previous committee meeting, and there were three options recommended in the statutory guidance:

- One member of the Crime & Disorder Committee should be a member of the Police Authority (county & unitary councils only)
- Appoint as a non voting expert advisor to attend the committee only when Police or Crime and Disorder matters were being discussed.
- Appoint as above but as a voting member – this would require a change to the Councils' Constitution.

In relation to the reporting schedule, the police authority had offered to prepare performance reports for policing in Ryedale, and an example of the reports which could be considered were attached at annex C and included:

- Safer Neighbourhoods Team priorities and progress – twice a year
- Policing Pledge, priorities and progress – twice a year

The reporting organisation would be invited to present each of these reports to the committee and respond to any questions. The reporting organisations would be the Safer Ryedale Partnership for their plan and the police and police authority for the Safer Neighbourhoods Team, priorities and progress and Policing Pledge priorities and progress.

Resolved

- a) That the committee hold one meeting per year, specifically to deal with Crime and Disorder Scrutiny (plus extra meetings if necessary), and that the relevant representatives from the police or police authority be invited to attend that meeting.
- b) That reports be received from the Safer Ryedale Partnership and Safer Neighbourhoods Team in electronic format, to be reviewed at the crime and disorder scrutiny meeting (s).

43 **Annual Report**

The Head of Transformation presented the Ryedale District Council Annual Report for 2009-2010 to the Committee.

Members were advised that the Annual Report presented a summary of the ambitions of the Council and the clear strategic direction. This Annual Report was a vital element of the Councils' Strategic Performance Management and contained information in the following categories:

- About Ryedale
- Our Vision
- Our Priorities
- Meeting Housing Need
- Creating Economic Success
- A High Quality Environment
- Supporting Active Safe Communities
- Transforming the Council
- Our Finances
- Useful Contacts

Members thanked the Head of Transformation and her team for an excellent document.

Resolved

That the report be received.

44 Decisions from other Committees

List of Decisions from the following Committees were submitted:

Commissioning Board held on the 23 September 2010
Policy and Resources held on the 30 September 2010

Councillor Clark requested that in future, it would be preferable to receive the full minutes of the Commissioning Board and Policy & Resources Committee, whenever timescales permitted, as these provided the level of detail required to enable Members to review the meeting.

Resolved

- a) That the lists of decisions of the Commissioning Board held on the 23 September 2010 and the Policy and Resources Committee held on the 30 September 2010 be received.
- b) That at future meetings, the minutes of the Commissioning Board and Policy and Resources, (if available) be presented to the Overview and Scrutiny Committee rather than the decision lists.

45 Any other business that the Chairman decides is urgent.

There were no items of urgent business.

The meeting closed at 8.15pm.

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Ryedale District Council

Annual Audit Letter

on the 2009/10 Audit

November 2010

Contents

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1. Key messages

- The Statement of Accounts was prepared, audited and concluded in accordance with the agreed timetable. The Authority maintained a high standard of financial reporting, with no material adjustments to the reported financial position being required. A small number of presentation and disclosure amendments were made.
- We issued an unqualified audit opinion on the Statement of Accounts and the value for money conclusion on the 30 September 2010.
- We did not identify any material weaknesses in the financial reporting systems and the control observations noted in our report are considered to be minor. Control observations were reported to the Policy & Resources Committee and the Chair of Overview and Scrutiny Committee on 30 September 2010, as part of our report on significant matters arising from our audit. This report was formally considered by the Overview and Scrutiny Committee on 7 October 2010.
- The Whole of Government Accounts return was presented for audit by the deadline set by HM Treasury. We issued the audit opinion on the Whole of Government Accounts return on 1 October 2010, in line with the required deadline.
- The audit certificate of completion of the audit was issued on 30 September 2010

Action needed by the Council

The Council needs to:

- continue to focus on meeting the financial reporting timetable, whilst striving to further improve quality standards of all deliverables and ensuring compliance with the applicable guidance. From 2010/11, local authorities' Statements of Accounts will be prepared under an International Financial Reporting Standards ("IFRS") based Code of Practice on Local Authority Accounting. We have assessed the Authority's readiness for IFRS conversion as part of the Audit Commission surveys in November 2009 and July 2010. In each case we assessed that the Authority was broadly on-track. The Authority will need to continue to focus on IFRS conversion to ensure required timescales are met; and
- implement the actions noted in the management response of each control observation raised in our report to those charged with governance.

2. Purpose, responsibilities and scope

The purpose of this letter

The purpose of this Annual Audit Letter is to summarise the key matters arising from the work that we have carried out in respect of the year ended 31 March 2010.

Although this letter is addressed to the members of Ryedale District Council (“the Authority”), it is also intended to communicate the significant issues we have identified, in an accessible style, to key external stakeholders, including members of the public. The letter will be published on the Audit Commission website at www.audit-commission.gov.uk and also on the Authority’s website.

This letter has been prepared in the context of the Statement of Responsibilities of Auditors and Audited Bodies issued by the Audit Commission. This is available from www.audit-commission.gov.uk.

Responsibilities of the Auditor and the Authority

The Authority is responsible for maintaining the control environment and accounting records and for preparing the accounting statements in accordance with the Statement of Recommended Practice for Local Authorities 2009 (“SORP 2009”) and relevant legislation.

We are appointed as the Authority’s independent external auditors by the Audit Commission, the body responsible for appointing auditors to local public bodies in England, including District Councils.

As the Authority’s appointed external auditor, we are responsible for planning and carrying out an audit that meets the requirements of the Audit Commission’s Code of Audit Practice (“the Code”). Under the Code, we have responsibilities in two main areas:

- the Authority’s accounts; and
- whether the Authority has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources (the value for money conclusion).

The scope of our work

We conducted our audit in accordance with International Standards on Auditing (UK and Ireland) (“ISA plus”) as adopted by the UK Auditing Practices Board (“APB”). The audit opinion on the accounts reflects the financial reporting framework adopted by the Authority, being the SORP 2009. We conducted our work on the value for money conclusion in line with guidance received from the Audit Commission in respect of principal authorities for the financial year ended 31 March 2010.

3. The audit of the accounts

Key issues arising from the audit of the accounts

We issued an unqualified opinion on the Authority's 2009/10 accounts on 30 September 2010, in accordance with the deadline set for local authorities. Our opinion confirms that the accounts present a true and fair view of the financial position of the Authority and its income and expenditure for the year.

Before we give our opinion on the accounts, we are required to report to those charged with governance any significant matters arising from the audit. A detailed report was discussed with the Policy & Resources Committee and the Chair of Overview & Scrutiny Committee on 30 September 2010, and there were no key issues to report. The report was formally considered by the Overview and Scrutiny Committee on 7 October 2010.

We received a complete set of draft accounts in advance of the agreed deadline, which were supported by working papers. The finance staff were helpful throughout the process and responded swiftly to all queries. This performance reflects well on the professionalism of the finance staff and their commitment to maintaining high-level controls over financial systems. Amendments were made to the cash flow statement and some of the disclosures to bring them into line with the 2009 SORP.

We have considered the financial standing of the Authority as at 31 March 2010. We have assessed this based on current, ongoing expenditure demands, expected grant income and the current cash position of the Authority. It is expected that public sector funding cuts may cause a reduction in grant income received in the future. The Authority has drawn up plans on how to deal with differing levels of grant reduction in advance of the funding position being clarified later this year.

Audit certificate

When our audit is complete we are required to certify the closure of the audit. The audit certificate was issued on 30 September 2010.

4. Value for money

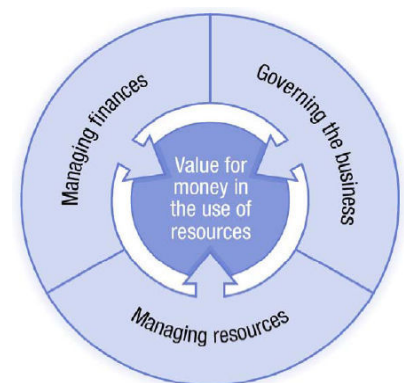
Background

Under the Code of Audit Practice, we are required to give a 'yes/no' opinion on whether the Authority has put in place proper arrangements to secure economy, efficiency and effectiveness in their use of resources. This is known as the value for money conclusion and is given within our audit report on the Authority's Statement of Accounts.

At the end of May 2010, the Audit Commission wrote to all Chief Executives to inform them that, following the government's announcement, work on Comprehensive Area Assessment (CAA) would cease with immediate effect and that the Audit Commission would not be issuing new scores for the Use of Resources assessments. We are still required to assess how well the Authority manages and uses its financial resources by performing an unscored assessment in three theme areas as specified by the Audit Commission, in accordance with their guidance for principal local authorities. Within this, we are required to consider arrangements in eight of the ten key lines of enquiry (KLOE) in any one year. This assessment will inform our value for money conclusion.

The value for money assessment considers how well organisations are managing and using their resources to deliver value for money and better and sustainable outcomes for local people. The three themes and the specific KLOE considered in 2009/10 are:

- sound and strategic financial management:
 - financial planning and financial health;
 - understanding costs and achieving efficiencies;
 - financial reporting;
- strategic commissioning and good governance:
 - commissioning and procurement;
 - use of information;
 - good governance;
 - risk management and internal control; and
- the management of natural resources, assets and people:
 - use of natural resources.



4. Value for money (continued)

Value for money conclusion

Having performed our work in line with guidance received from the Audit Commission, we issued an unqualified value for money conclusion for the 2009/10 financial year. This means that we are satisfied that in the areas reviewed, the Authority has put in place proper arrangements for securing economy, efficiency and effectiveness in its use of resources during the year. During the course of our work we noted the Authority has made significant progress against the areas for development highlighted in our prior year report on Use of Resources, especially in relation to the understanding and use of costing information. Good practice was also noted across the full range of the KLOEs under consideration this year.

5. Other matters

Audit Commission

On 13 August 2010, the Secretary of State for Communities and Local Government announced the proposed abolition of the Audit Commission. The proposed abolition will be after the March 2012 financial year end and the Audit Commission has confirmed that there is no immediate change to audit arrangements. New audit arrangements are likely to apply from the start of the 2012/13 financial year.

Reports issued

Report	Date issued
Fee letter	April 2009
Audit plan	June 2010
Report to those charged with governance on the 2009/10 audit	September 2010
Annual audit letter	November 2010

Analysis of audit fees

	2010 £'000	2009 £'000
Fees payable to the auditors for the annual audit	88	79
Fees payable in respect of the certification of grant claims and returns of the Authority *	25	25
Total	113	104

* 2009/10 work is currently ongoing so fees are estimated. 2008/09 fees were increased as a result of additional work on the benefits subsidy claim in line with the Audit Commission's methodology.

We have undertaken an IT healthcheck on the Authority's progress towards Government Connect. Fee payable for this review was £7,000.

Independence and objectivity

In our professional judgement, our policies and safeguards that are in place ensure that we are independent within the meaning of all regulatory and professional requirements and that the objectivity of the audit partner and audit staff is not impaired.

5. Other matters (continued)

Grants

We have undertaken work during the year on various grant claims made by the Council. All of our work on the 2009/10 grant claims is still ongoing and a separate report will be prepared in respect of the findings from this work.

International Financial Reporting Standards (“IFRS”)

The Council will be required to prepare IFRS compliant accounts for the year-ending 31 March 2011 and therefore comparative IFRS balances for the year from 1 April 2009 to 31 March 2010. The Whole of Government Accounts return for 2010/11 will also be required to be submitted under IFRS.

Finance staff will be leading on the transition to IFRS. Whilst no formal project plan is in place, responsibility for the transition has been allocated, and the data capture and analysis has begun. Staff have attended various technical/professional training sessions to date. We have recently completed Audit Commission return on the Council’s state of readiness for IFRS and concluded that the Council is broadly on track, but there remain some significant challenges ahead. We will continue to work closely with the Council to assess progress against the required timescales.

Approach to local value for money audit work from 2010/11

Given the scale of the pressures facing public bodies in the current economic climate, the Audit Commission has reviewed its work programme for 2010/11 onwards. As part of this exercise, the Audit Commission has been discussing possible options for a new approach to local value for money (VFM) audit work with key national stakeholders. From 2010/11 we will therefore apply a new, more targeted and better value approach to our local VFM audit work. This will be based on a reduced number of reporting criteria specified by the Audit Commission, concentrating on:

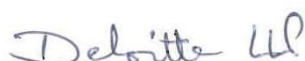
- securing financial resilience; and
- prioritising resources within tighter budgets.

We will determine a local programme of VFM audit work based on our audit risk assessment, informed by these criteria and our statutory responsibilities. We will no longer make annual scored judgements relating to our local VFM audit work. Instead we will report the results of all the local VFM audit work and the key messages for the audited body in our annual report to those charged with governance and in a clear and accessible annual audit letter.

6. Closing remarks

This letter has been discussed and agreed with the Chief Executive and the Senior Management Team. A copy of the letter will be presented at the Overview and Scrutiny Committee on 16 December 2010.

We would like to take this opportunity to express our appreciation for the assistance and co-operation provided during the course of the audit. Our aim is to deliver a high standard of audit which makes a positive and practical contribution which supports the Council's own agenda. We recognise the value of your co-operation and support.



Deloitte LLP

Chartered Accountants

Leeds, England

3 November 2010

The Statement of Responsibilities of Auditors and Audited Bodies issued by the Audit Commission explains the respective responsibilities of auditors and of the audited body and this report is prepared on the basis of, and our audit work is carried out in accordance with, that statement.

The matters raised in this report are only those that came to our attention during our audit and are not necessarily a comprehensive statement of all weaknesses that exist or of all improvements that might be made. You should assess recommendations for improvements for their full implications before they are implemented. In particular, we would emphasise that we are not responsible for the adequacy and appropriateness of the national use of resources study data and methodology as they are derived solely from the Audit Commission.

This report has been prepared for the Members, as a body, and we therefore accept responsibility to you alone for its contents. We accept no duty, responsibility or liability to any other parties since this report has not been prepared, and is not intended, for any other purpose.

An audit does not provide assurance on the maintenance and integrity of the website, including controls used to achieve this, and in particular on whether any changes may have occurred to the Annual Audit Letter since first published. These matters are the responsibility of the Authority but no control procedures can provide absolute assurance in this area.



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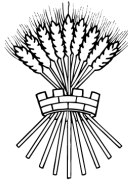
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REPORT TO:	OVERVIEW AND SCRUTINY COMMITTEE
DATE:	16 DECEMBER 2010
REPORT OF THE:	HEAD OF PLANNING GARY HOUSDEN
TITLE OF REPORT:	SERVICE RISK REGISTER - PLANNING
WARDS AFFECTED:	ALL

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

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

2.0 RECOMMENDATION

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

3.0 REASON FOR RECOMMENDATION

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

4.0 REPORT

4.1 Service Risk Registers (SRR) were originally established from work undertaken by the Audit Partnership in conjunction with Service Unit Managers. Since the management restructure they are now the responsibility of the Heads of Service.

4.2 Annex A outlines the SRR for the Head of Planning.

5.0 CONCLUSION

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

Gary Housden
Head of Planning

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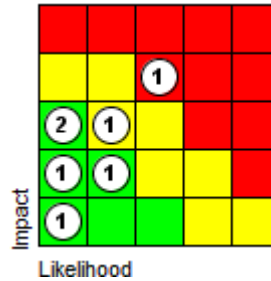
Service Risk Register - Planning

Generated on: 01 December 2010



Planning


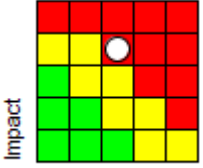


Current Risk Heat Map




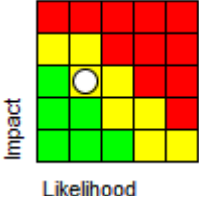
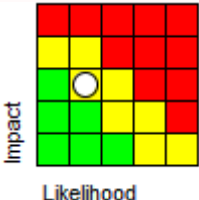
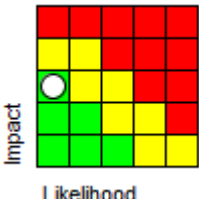
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	PL 1	Delivery of Local Development Framework	<table border="1"> <thead> <tr> <th colspan="2">Risk Status</th> </tr> </thead> <tbody> <tr> <td></td> <td>OK</td> </tr> <tr> <td></td> <td>Warning</td> </tr> <tr> <td></td> <td>Alert</td> </tr> <tr> <td></td> <td>Unknown</td> </tr> </tbody> </table>	Risk Status			OK		Warning		Alert		Unknown
Risk Status													
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	PL 2	Planning Decisions											
	PL 3	Management of IT systems											
	PL 4	Loss of land charge income											
	PL 5	Data Quality											
	PL 6	Staff Recruitment & Retention											
	PL 7	Fraud and corruption											

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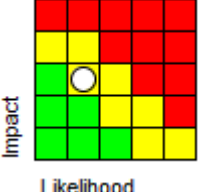
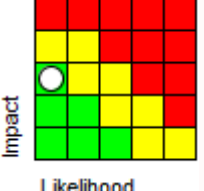
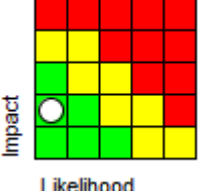
PL 1 Delivery of Local Development Framework

Risk Code	Risk Title	Description	Status		
PL 1	Delivery of Local Development Framework	Produce an adopted statutory development plan for Ryedale.			
Consequences		Out of date Policy document Failure to deliver sustainable communities Potential loss of effective control over future development in the district Adverse impact on likely grant awards- HPDG replaced with New Homes Bonus based on housing delivery.			
Original Matrix		Original Rating Description			
		Original Impact	D Major	Original Likelihood	3 Likely
Current Risk Matrix		Current Rating Description			
		Current Impact	D Major	Current Likelihood	3 Likely
Target Risk Matrix		Target Rating Description			
		Target Impact	C Medium	Target Likelihood	1 Very Low
Latest Progress				Last Review Date	SMT Lead
01 Dec 2010 Technical evidence completed and Council has agreed Draft Core Strategy for consultation. Consultation period ended 5.11.10 and responses are being analysed before being reported back to Members. A new suite of National policy papers are out for consultation affecting housing and planning issues and the Localism Bill is awaited(expected early December 2010). Members to be briefed on both issues,				29 Nov 2010	Gary Housden


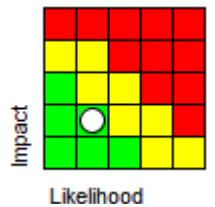
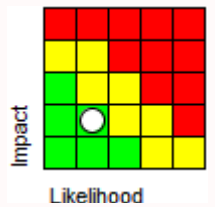
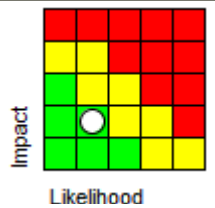
PL 2 Planning Decisions

Risk Code	Risk Title	Description	Status	
PL 2	Planning Decisions	Timely rigorous planning decisions		
Consequences		Poor Council image. Maladministration. Possibility of legal challenge. Possibility of substantial costs incurred at appeal. Adverse impact on credibility of LPA-officer/member relations		
Original Matrix		Original Rating Description		
		Original Impact	C	2
			Medium	Original Likelihood
Current Risk Matrix		Current Rating Description		
		Current Impact	C	2
			Medium	Current Likelihood
Target Risk Matrix		Target Rating Description		
		Target Impact	C	1
			Medium	Target Likelihood
Latest Progress			Last Review Date	SMT Lead
01 Dec 2010 Training event held with Members re District Valuer-Development Viability Issues+ regular briefings on LDF.Core Strategy through draft consultation stage but publication version yet to be presented to and agreed by Council. Further training to be held for all Members post May2011 election . Officers attend regular CPD events and peer groups in North Yorkshire.			21 Sep 2009	Gary Housden


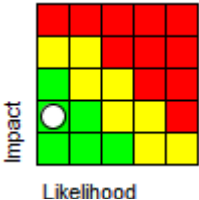
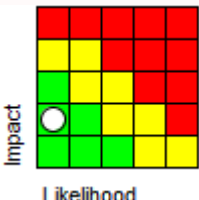
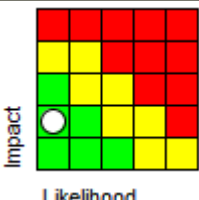
PL 3 Management of IT systems

Risk Code	Risk Title	Description	Status				
PL 3	Management of IT systems	Providing robust accessible information systems.					
Consequences		Inefficient/costly systems. Failure to improve service delivery. Reduced access to service/ possible adverse impact in terms of equalities agenda					
Original Matrix		Original Rating Description					
		<table border="1"> <tr> <td>C</td> <td rowspan="2">Original Likelihood</td> <td>2</td> </tr> <tr> <td>Medium</td> <td>Not Likely</td> </tr> </table>	C	Original Likelihood	2	Medium	Not Likely
C	Original Likelihood	2					
Medium		Not Likely					
Current Risk Matrix		Current Rating Description					
		<table border="1"> <tr> <td>C</td> <td rowspan="2">Current Likelihood</td> <td>1</td> </tr> <tr> <td>Medium</td> <td>Very Low</td> </tr> </table>	C	Current Likelihood	1	Medium	Very Low
C	Current Likelihood	1					
Medium		Very Low					
Target Risk Matrix		Target Rating Description					
		<table border="1"> <tr> <td>B</td> <td rowspan="2">Target Likelihood</td> <td>1</td> </tr> <tr> <td>Minor</td> <td>Very Low</td> </tr> </table>	B	Target Likelihood	1	Minor	Very Low
B	Target Likelihood	1					
Minor		Very Low					
Latest Progress			Last Review Date				
01 Dec 2010 Main systems all up to date and electronic access channels maximised for all organisations and individuals who are able to use them. Land charge records still progress of being captured electronically to maximise benefits of TLC system.			02 Dec 2010				
			SMT Lead				
			Gary Housden				





PL 4 Loss of land charge income

Risk Code	Risk Title	Description	Status
PL 4	Loss of land charge income	Retaining competitiveness of the service.	
Consequences		Net increase in cost to the Council of running service. Possible loss of service	
Original Matrix		Original Rating Description	
	Original Impact	B	2
		Minor	Original Likelihood
Current Risk Matrix		Current Rating Description	
	Current Impact	B	2
		Minor	Current Likelihood
Target Risk Matrix		Target Rating Description	
	Target Impact	B	2
		Minor	Target Likelihood
Latest Progress			Last Review Date
01 Dec 2010 Fees set at competitive levels and response times achieving high levels re 5 day turn round time (including NYMNPA and NYCC). Very low levels of activity from personal search companies. In house responses much improved response times as a result of shared information ie Radon gas map.			21 Sep 2009
			SMT Lead
			Gary Housden


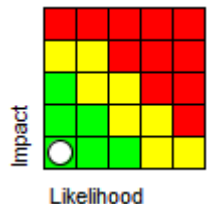
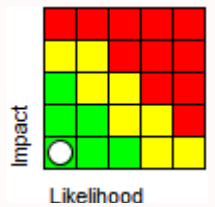
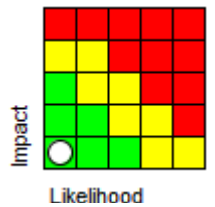
PL 5 Data Quality

Risk Code	Risk Title	Description	Status	
PL 5	Data Quality	Failure to deliver accurate, reliable and timely information in respect of all N.I.'s and local performance indicators		
Consequences		Loss of credibility. Loss of reputation /poor public image. Possible loss of grant income		
Original Matrix		Original Rating Description		
		Original Impact	B	1
			Minor	Original Likelihood
Current Risk Matrix		Current Rating Description		
		Current Impact	B	1
			Minor	Current Likelihood
Target Risk Matrix		Target Rating Description		
		Target Impact	B	1
			Minor	Target Likelihood
Latest Progress			Last Review Date	SMT Lead
01 Dec 2010 All relevant staff trained and up to date. Managers aware of need to train new staff as occasions arise. Designated officers for cross-organisation areas of work ie. Climate Change- Improved Local Biodiversity.			21 Sep 2009	Gary Housden

PL 6 Staff Recruitment & Retention

Risk Code	Risk Title	Description	Status	
PL 6	Staff Recruitment & Retention	Ability to attract and keep experienced competent staff.		
Consequences		Drop in performance. Reduced staff morale. Increased complaints. Loss of reputation.		
Original Matrix		Original Rating Description		
 <p>Impact</p> <p>Likelihood</p>	Original Impact	C	1	
		Medium	Original Likelihood	Very Low
Current Risk Matrix		Current Rating Description		
 <p>Impact</p> <p>Likelihood</p>	Current Impact	C	1	
		Medium	Current Likelihood	Very Low
Target Risk Matrix		Target Rating Description		
 <p>Impact</p> <p>Likelihood</p>	Target Impact	C	1	
		Medium	Target Likelihood	Very Low
Latest Progress			Last Review Date	SMT Lead
01 Dec 2010 Managers continue to monitor the market place and identify action(s) where needed to train develop and retain key staff.			05 Oct 2009	Gary Housden

PL 7 Fraud and corruption

Risk Code	Risk Title	Description	Status
PL 7	Fraud and corruption	Having rigorous systems in place to prevent fraud and corruption occurring.	
Consequences		Loss of income. Loss of reputation/bad publicity. Poor rating from external inspectors.	
Original Matrix		Original Rating Description	
	Original Impact	A	1
		Low	Original Likelihood
Current Risk Matrix		Current Rating Description	
	Current Impact	A	1
		Low	Current Likelihood
Target Risk Matrix		Target Rating Description	
	Target Impact	A	1
		Low	Target Likelihood
Latest Progress			Last Review Date
01 Dec 2010 Service has been regularly audited and (where recommended) actions have been put in place to resolve potential areas of concern re financial controls. Internal audit have found no areas of serious concern.			05 Oct 2009
			SMT Lead
			Gary Housden

OVERVIEW AND SCRUTINY ITEM, FOR CONSIDERATION PRIOR TO FULL COUNCIL

**RYEDALE
DISTRICT
COUNCIL**



REPORT TO:	COUNCIL
DATE:	13 JANUARY 2011
REPORT OF THE:	CORPORATE DIRECTOR (s151) PAUL CRESSWELL
TITLE OF REPORT:	TREASURY MANAGEMENT MID-YEAR REVIEW
WARDS AFFECTED:	ALL

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

1.1 To report on the treasury management activities to date for the financial year 2010/11 in accordance with the Chartered Institute of Public Finance and Accountancy's (CIPFA) Code of Practice on Treasury Management (the Code).

2.0 RECOMMENDATION(S)

2.1 It is recommended that:

- (i) Members receive this report; and
- (ii) The mid-year performance of the in-house and externally managed funds to date is noted.

3.0 REASON FOR RECOMMENDATIONS

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

4.0 SIGNIFICANT RISKS

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

REPORT

5.0 BACKGROUND AND INTRODUCTION

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

Treasury management in this context is defined as:

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

- 5.3 This mid-year report has been prepared in compliance with CIPFA's Code of Practice and covers the following:
- An economic update for the first seven months of 2010/11;
 - A review of the Treasury Management Strategy Statement and Annual Investment Strategy;
 - A review of the Council's investment portfolio for 2010/11;
 - A review of compliance with Treasury and Prudential Limits for 2010/11.

6.0 POLICY CONTEXT

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

7.0 CONSULTATION

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

8.0 REPORT DETAILS

Economic Update

- 8.1 The global economy has had to deal with a sovereign debt crisis, in the first place regarding major concerns over the size of the Greek government's total debt and

annual deficit. This culminated with the EU and IMF putting together a 750bn euro support package for Greece. Since then, a similar crisis with Ireland has also resulted in that country also requiring a support arrangement. Any default or write down of debt by these two countries would have a substantial impact on other countries, in particular, Portugal and Spain.

- 8.2 With regard to the UK economy, following the general election in May 2010 the coalition government has put into place an austerity plan to carry out correction of the public sector deficit over the next five years. The inevitable result of fiscal contraction will be major job losses during this period, in particular in public sector services. This will have a knock on effect on consumer and business confidence. GDP growth is likely to have peaked at 1.2% in quarter 2 of 2010. The trend of falling unemployment (on the benefit claimant count) has now been replaced since July with small increases which are likely to be a trend of rising unemployment.
- 8.3 The Consumer Price Index has remained high during 2010. It peaked at 3.7% in April and has fallen back to 3.2% in October. The Retail Price Index remains high, at 4.5% in October. Although inflation has remained stubbornly above the MPC's 2% target, the MPC is confident that inflation will fall back under the target over the next two years.
- 8.4 Prior to the general election, credit rating agencies had been issuing repeated warnings that unless there was a major fiscal contraction, then the AAA sovereign rating was at significant risk of being down graded. However, since the Chancellors budget on 22 June, Sterling has strengthened against the US dollar and confidence has returned that the UK will retain its AAA rating.
- 8.5 With regard to interest rates, Sector's view is that there is unlikely to be any increase in Bank Rate until the middle of 2011. Sectors latest forecast for the Bank Rate is as follows:

Sep-2010	Dec-2010	Mar-2011	Jun-2011	Sep-2011	Dec-2011	Mar-2012	Jun-2012	Sep-2012	Dec-2012	Mar-2013
0.50%	0.50%	0.50%	0.50%	0.50%	0.75%	1.00%	1.25%	1.50%	1.75%	2.25%

Treasury Management Strategy Statement and Annual Investment Strategy Update

- 8.6 The Treasury Management Strategy (TMSS) for 2010/11 was approved by this Council on 22 February 2010. The Council's Annual Investment Strategy, which is incorporated in the TMSS, outlines the Council's investment priorities as follows:
- Security of capital
 - Liquidity
- 8.7 The Council will also aim to achieve the optimum return on investments commensurate with the proper levels of security and liquidity. In the current economic climate it is considered appropriate to keep investments short term (maximum loan period of 12 months) and only invest with highly credit rated financial institutions, using Sector's suggested creditworthiness approach, including sovereign rating and credit default swap (CDS) overlay information provided by Sector.
- 8.8 Investments during the first seven months of the year have been in line with the strategy and there have been no deviations from the strategy.

- 8.9 As outlined above, there is still considerable uncertainty and volatility in the financial and banking market, both globally and in the UK. In this context, it is considered that the strategy approved on 22 February 2010 is still fit for purpose in the current economic climate.

Investment Portfolio 2010/11

- 8.10 In accordance with the Code, it is the Council's priority to ensure security of capital and liquidity and to obtain an appropriate level of return which is consistent with the Council's risk appetite.
- 8.11 The Council's investment position at the beginning of the financial year was as follows:

Type of Institution	Internally Managed (£)	Externally Managed (£)	Total (£)
UK Clearing Banks	4,370,000	1,000,000	5,370,000
Foreign Banks	1,000,000	2,500,000	3,500,000
Building Societies	0	1,500,000	1,500,000
Total	5,370,000	5,000,000	10,370,000

- 8.12 A full list of investments held as at 31 October 2010, compared to Sectors counterparty list and changes to Fitch, Moodys and S&P's credit ratings during the first seven months of 2010/11 is shown in annex B and summarised below:

Type of Institution	Internally Managed (£)	Externally Managed (£)	Total (£)
UK Clearing Banks	7,400,000	2,500,000	9,900,000
Foreign Banks	2,500,000	1,000,000	3,500,000
Building Societies	0	1,500,000	1,500,000
Total	9,900,000	5,000,000	14,900,000

- 8.13 As illustrated in the economic background section above, investment rates available in the market are at a historical low point. The average level of funds available for investment purposes in the first seven months of 2010/11 was £13.7m. These funds were available on a temporary basis and the level of funds available was mainly dependent on the timing of precept payments, receipt of grants and progress on the capital programme.

- 8.14 The table below compares the investment portfolio yield for the first seven months of the year against a benchmark of the average 7 day LIBID rate of 0.43%.

	Average Investment (£)	Average Gross Rate of Return	Net Rate of Return	Benchmark Return	Interest Earned (£)
Internally Managed:					
Temporary Investments	1,297,843	0.60%	n/a	n/a	12,992
Fixed Term Deposits	1,250,000	1.09%	1.09%	0.43%	32,061
Externally Managed	1,250,000	1.04%	0.98%	0.43%	30,547

- 8.15 The Council's budgeted investment for 2010/11 is £230k and performance during the financial year to 31 October 2010 is £64k below budget.

Compliance with Treasury and Prudential Limits

- 8.16 It is a statutory duty for the Council to determine and keep under review the “Affordable Borrowing Limits”. The Council’s approved Treasury and Prudential Indicators (affordability limits) are outlined in the approved Treasury Management Strategy Statement (TMSS).
- 8.17 During the financial year to date the Council has operated within the treasury limits and Prudential Indicators set out in the Council’s TMSS and in compliance with the Council’s Treasury Management Practices. The Prudential and Treasury Indicators are shown in annex A.
- 8.18 The Council has no long-term borrowing and retains its status as a debt-free authority. There have been no temporary borrowing transactions in the year.

9.0 IMPLICATIONS

- 9.1 The following implications have been identified:
- a) Financial
The results of the investment strategy affect the funding of the capital programme. The investment income return to 31 October 2010 was £64k lower than estimated.
 - b) Legal
There are no additional legal implications within this report.
 - c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)
There are no additional implications within this report.

Paul Cresswell Corporate Director (s151)

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Telephone No: 01653 600666 ext: 214
E-Mail Address: paul.cresswell@ryedale.gov.uk

Background Papers:

None

Background Papers are available for inspection at:

N/a

PRUDENTIAL AND TREASURY INDICATORS

Prudential Indicators

	2009/10	2010/11	2011/12	2012/13
Extract from budget setting report	Actual	Estimate	Estimate	Estimate
Capital Expenditure	£1.589m	£5.624m	£3.163m	£0.715m
Ratio of financing costs to net revenue stream	-3.05%	-2.42%	-1.79%	-3.48%
Net borrowing requirement	-£10.37m	-£7.054m	-£4.464m	-£4.491m
Capital Financing Requirement as at 31 March	£0	£0	£2.396m	£2.339m
Annual change in Capital Financing Requirement	£0	£0	£2.396m	-£0.570m
Incremental impact of capital investment decisions Increase in council tax (band D) per annum	N/a	£4.39	£15.46	£8.44

Treasury Management Indicators

	2009/10	2010/11	2011/12	2012/13
	Actual	Estimate	Estimate	Estimate
Authorised Limit for external debt -				
Borrowing	N/a	£20.0m	£20.0m	£20.0m
Other long term liabilities	N/a	£0	£0	£0
Total	N/a	£20.0m	£20.0m	£20.0m
Operational Boundary for external debt -				
Borrowing	N/a	£5.0m	£5.0m	£5.0m
Other long term liabilities	N/a	£0	£0	£0
Total	N/a	£5.0m	£5.0m	£5.0m
Actual external debt	£0	N/a	N/a	N/a
Upper limit for fixed interest rate exposure				
Net principal re fixed rate borrowing / investments	N/a	100%	100%	100%
Upper limit for variable rate exposure				
Net principal re variable rate borrowing / investments	N/a	20%	20%	20%
Upper limit for total principal sums invested for over 364 days (per maturity date)	N/a	£2.5m	£2.5m	£2.5m

ANNEX B

Investment Portfolio as at 31 October 2010

Investment by Institution	Investment £	Duration of Investment	Latest Sector Duration Band Rating	Sovereignty Rating
UK Clearing Banks				
National Westminster Bank	3,600,000	On Call	12 Months	AAA
Santander UK plc	1,500,000	6 Months	6 Months	AAA
Bank of Scotland	1,500,000	12 Months	12 Months	AAA
Yorkshire Bank (Clydesdale Bank)	1,000,000	15 Day Notice	3 Months	AAA
Clydesdale Bank	1,000,000	3 Months	3 Months	AAA
Barclays Bank	1,000,000	6 Months	6 Months	AAA
Santander UK plc	300,000	1 Month	6 Months	AAA
	9,900,000			
Foreign Banks				
Credit Industriel et Commercial	1,500,000	6 Months	6 Months	AAA
DBS Bank	1,000,000	6 Months	12 Months	AAA
DBS Bank	1,000,000	6 Months	12 Months	AAA
	3,500,000			
Building Societies				
Nationwide Building Society	1,500,000	3 Months	6 Months	AAA
	1,500,000			
Grand Total	14,900,000			



REPORT TO:	OVERVIEW AND SCRUTINY COMMITTEE
DATE:	16 DECEMBER 2010
REPORT OF THE:	CORPORATE DIRECTOR (s151) PAUL CRESSWELL
TITLE OF REPORT:	INTERNAL AUDIT – Q2+ REPORT
WARDS AFFECTED:	ALL

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

1.1 This report presents the Quarter 2+ Internal Audit Report covering the period to 30 November 2010 from the North Yorkshire Audit Partnership.

2.0 RECOMMENDATION

2.1 It is recommended that the Interim Internal Audit Report which outlines progress against the approved internal audit plan be noted.

3.0 REASON FOR RECOMMENDATION

3.1 The Cipfa Code of Practice for Internal Audit in Local Government identifies that the shared interests of the audit committee and internal audit require an effective working relationship. Part of that is the monitoring of progress against the internal audit strategy and plan.

4.0 SIGNIFICANT RISKS

4.1 There are no significant risks.

REPORT

5.0 BACKGROUND AND INTRODUCTION

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

5.2 This report presents the Interim Internal Audit Report from the North Yorkshire Audit Partnership, which is attached as Annex A. That report summarises the work done by Internal Audit in 2010/11 covering the year to 30 November 2010.

5.3 This report highlights issues that the audits have identified and provides a summary of these. It also outlines any issues emerging from the audits of the principal financial systems of the Council, together with any significant comments from other audits completed during the year to date.

5.4 The Audit Partnership provides the Council in its report with a clear statement of assurance reflecting its opinion of the Internal Control Framework. This is based upon the audits completed complemented by its existing knowledge and understanding of the control framework.

6.0 POLICY CONTEXT

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

7.0 CONSULTATION

7.1 No external consultation has been undertaken. The Audit Partnership liaises with the Corporate Director (s151) in his specific role as the responsible financial officer. In addition it undertakes an annual consultation with Heads of Service.

8.0 REPORT DETAILS

8.1 The interim report detailed in annex A, provides an assurance statement for the financial systems of the Council, based on the work undertaken to date, and past experience. It is not a 'carte blanche' but a balanced judgement.

8.2 The appendix to that Partnership report provides a brief synopsis of the issues arising at each of the audits completed in the period. This allows the committee to be aware of control issues that have been identified, and enables the committee to request specific discussions with line management about the matters raised.

8.3 The facility for members to require managers to attend and discuss with the committee the results of the audit on their service area and its recommendations does significantly support the effective working relationship between the committee and internal audit.

8.4 If exercised pragmatically it should improve the responses of service managers to audit reports and recommendations, and also encourage them to challenge audit findings, which improves the quality of the audit process.

8.5 This allows the pendulum to come full circle bringing internal audit, its clients, and the Overview & Scrutiny Committee (audit) closer together in a virtuous circle.

8.6 This routine reporting to the committee forms an important part of the overall control framework, and the audit committee's role is also an integral component in that framework. This leads through, ultimately to the Annual Governance Statement.

9.0 IMPLICATIONS

9.1 The following implications have been identified:

- a) Financial
There are no financial implications, beyond the existing budget for Internal Audit.

- b) Legal
None directly, though individual audit reports may have implications.
- c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)
None directly, though individual audit reports may have implications.

Paul Cresswell
Corporate Director (s151)

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E-Mail Address: Alison.Newham@Ryedale.gov.uk
Alison.Newham@Scarborough.gov.uk

Background Papers:
None

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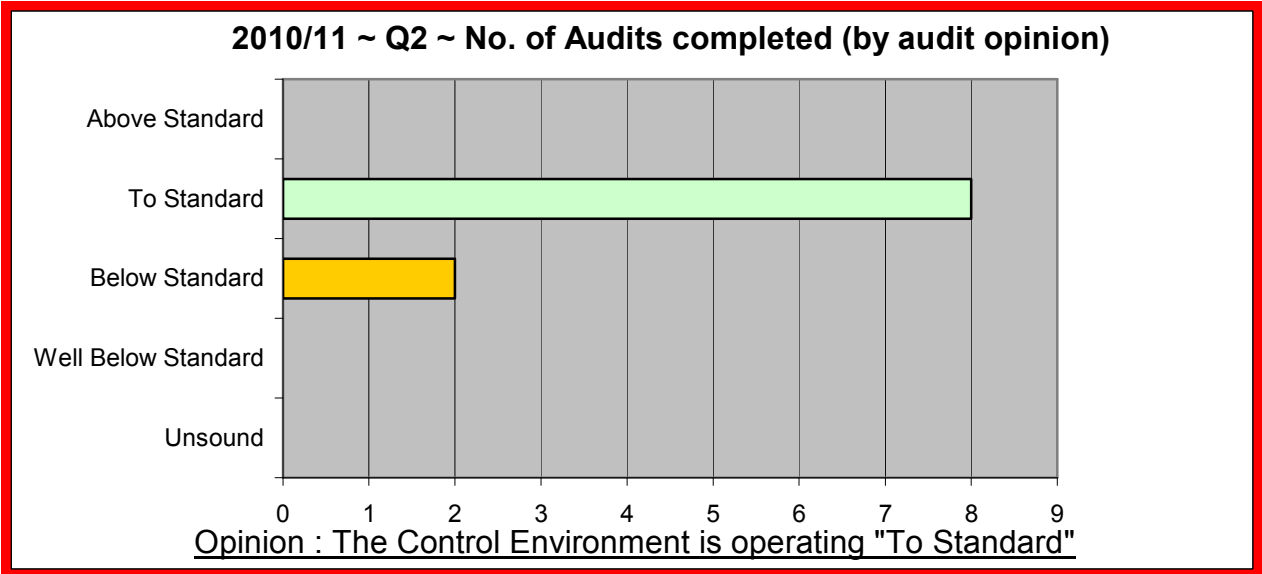


Independent Assurance

Internal Audit 2010/11 Q2+ report



Ryedale DC December 2010



Head of Partnership: James Ingham CPFA
Audit Manager: Alison Newham BA (Hons)

Circulation list: Members Overview & Scrutiny Committee
Chief Executive
Corporate Director (s151)

Summary

1.0 Introduction






- 1.1 Internal Audit is a mandatory requirement for all councils, (Accounts and Audit regulations). The Council meets that requirement by an Internal Audit service provided through the North Yorkshire Audit Partnership.
- 1.2 The Partnership provides the service and works to the Cipfa Code of Practice for Internal Audit in Local Government. The council's external auditors have undertaken a tri-ennial review of the Partnership which added to the Accounts and Audit regulation requirement that the Council undertakes an annual review of the effectiveness of the system of Internal Audit. The results of both reviews are presented to the Overview and Scrutiny Committee (in its audit committee role) of the Council.
- 1.3 Internal audit providers in Local Government have an obligation to produce an Annual Internal Audit Report. The Partnership considers that it is important for the committee to receive regular interim reports of audits completed, and these two reports follow a common style.
- 1.4 This is an important document in many ways and brings together the following in one consolidated report.
 - ◆ A clear statement of assurance by the North Yorkshire Audit Partnership regarding the adequacy and effectiveness of the internal control environment.
 - ◆ The key issues and themes arising out of the internal audit activity that has been undertaken during 2010/2011, encompassing systems audit work and any specialist reviews.
 - ◆ A summary of the opinions and key issues for the audits completed.
- 1.5 This interim report is, however, more than the sum of these parts; taken as a whole it is an important contribution to the Council reaching an understanding of what risks exist and how well they are being managed.
- 1.6 The presence of an effective internal audit function contributes significantly to the strong counter-fraud and corruption culture that exists in the council.
- 1.7 During 2010/11 no significant special investigations have been required to date, suggesting that the present internal control framework is proving effective so far. As part of our audit plan, we have carried out a number of internet log analysis exercises on behalf of management to ensure that any potential abuse or misuse is addressed promptly.
- 1.8 The internal audit team are closely involved with governance matters, and take an active part in the Council's governance and are directly involved with the preparation and drafting of the Council's Annual Governance Statement.

2.0 Planned Audit work 2010/11

- 2.1 The agreed number of days in the plan for internal audit was 265. The plan itself was derived from the Partnership's risk model, devised to target resources to those areas that are considered to be of the greatest risk.
- 2.2 The number of days is to reduce gradually over the forthcoming years by around 7.5% p.a. resulting in a 245 day audit plan 2011/12 and 225 day plan in 2012/13. With the present form of service delivery this ultimate level must be considered to be at the threshold of adequacy to allow sufficient resources for the audit of the Council's activities.
- 2.3 That projected plan value is, in our professional opinion, adequate to allow the Partnership to provide the requisite assurance to the Council on the system of Internal Control. The proportion committed to the material systems may become disproportionately large being almost 50% of the total plan value. The consequence is that over a number of years, a number of discrete work areas may not be subject to an internal audit.
- 2.4 We are aware that the Council is moving to a 'commissioning' model and that may influence the range and type of Internal Audit work that is required.

- 2.5 The projected plan is, however, tempered by a number of factors; the most significant of these being the expectation of the external auditors that internal audit undertake work on the material (significant) systems of the council on an annual basis. The volume of time required is largely constant, so the balance is used for locally directed and determined audit assignments.
- 2.6 We therefore will be reviewing the present plan to ensure that we use the resources available to optimal effect with maximum efficiency. We may consider proposing some audit plan time for pro-active counter fraud work, as there is a view in the profession that the current cuts in local Council budgets combined with enforced staff reductions may create the 'perfect storm' conditions where fraud flourishes.
- 2.7 We note that the council has awarded its Housing Benefit Fraud work to Veritau, for a fixed period, and we will work closely with the company in this particular area.
- 2.8 The plan also includes a provision for specialist audit work including ICT audit, and work around the partnership governance area. Finally it also includes an amount of time to meet Client support requirements, including attending audit committee, and ad-hoc or special investigations.
- 2.9 This report also contains a table which shows the schedule of planned audit work, and the audit opinion associated with those audits completed.

3.0 Matters of significance from the work completed in the year

- 3.1 The areas that were especially pleasing to report are as follows: -
-  The majority of audits undertaken so far have returned a 'good' opinion (including in progress and draft stage).
 -  Recommendations from previous years have been, for the most part, implemented.
- 3.2 Areas which generated concern are as follows: -
-  Controls surrounding Internal CCTV. The audit has been completed in draft and discussions continue to be held with the officers involved. We will report further on this at the next Committee meeting.
 -  The lack of a dedicated Officer resulted in the Health and Safety function lapsing to a degree and there was limited contingency in place whilst the position was vacant. The Council has now appointed a part time Health & Safety officer which now provides that function.
 -  The Taxi Licensing audit reported a number of significant control weaknesses. We are please though that these were recognised and have been quickly addressed by management and thereby resulted in the overall audit opinion being lifted.

4.0 Audit Opinion and Assurance Statement

- 4.1 We have conducted our audits both in accordance with mandatory standards and good practice contained within the CIPFA Code of Practice for Internal Audit in Local Government.
- 4.2 The Cipfa Code defines Internal Audit as an assurance function providing an independent opinion on the Internal Control Environment, comprising Risk Management, Governance and Internal Control. Accordingly we have structured our opinion around those three themes.
- 4.3 For 2010/2011, the internal audit opinion is derived from work completed as part of the agreed internal audit plan, which includes compliance with the managed audit. This is work done as part of the joint protocol between the Council's internal and external auditors who themselves are required to give an opinion on the Council's accounts. It is accepted that Internal Audit has an established position of independence within the Council more especially with the specific arrangements that exist with the North Yorkshire Audit Partnership. It has experience in control and assurance matters generally.

4.4 On balance, based upon the audit work done, together with the pre-existing cumulative audit knowledge and experience of other areas not subject to audit this year our overall audit opinion is that the Internal Control Environment for the Council is operating “to standard”.

The Assurance:	
Risk Management	The Council has embedded Risk Management within the organisation. The use of performance management software has enhanced this position and has provided a basis for future improvement.
Governance	Our work this year to date leads us to the overall opinion that the Corporate Governance arrangements are sound.
Internal Control [Financial systems, etc.]	<p>Our overall opinion is that the internal controls within the financial systems in operation in the year to date are fundamentally sound including the audit work to date of the main systems. This will be supplemented by additional testing in quarter 4 to complete the audits, and concurrently ensure that the audit covers as much of the financial year as practicable. This will provide a higher degree of assurance to the Council and support to the external auditors</p> <p>This is based upon our examination of the key financial systems as part of the managed audit approach, and the other financial systems that were actually audited. On that basis and our previous experience and knowledge there is no reason to believe that the systems are other than sound at this stage.</p>

Table of 2010/11 audit assignments completed

<u>Audit</u>	<u>Status</u>	<u>O&S (Audit) Committee</u>
<i>2010/11 ~ Material Systems (External Audit definition)</i>		
Council Tax	<i>In Progress - Extra Testing Q4</i>	
Creditors + e-procure/purchase cards	<i>In Progress - Extra Testing Q4</i>	
Debtors	<i>In Progress - Extra Testing Q4</i>	
Income System	<i>In Progress - Extra Testing Q4</i>	
NNDR	<i>In Progress - Extra Testing Q4</i>	
G. Ledger + Bank Reconciliation's	<i>In Progress - Extra Testing Q4</i>	
Housing Benefits	<i>In Progress - Extra Testing Q4</i>	
Asset Management (Capital Accounting)	<i>Planned Q3</i>	
Payroll	<i>Planned Q4</i>	
Treasury Mgt	<i>Planned Q4</i>	
<i>2010/11 Audit plan work</i>		
Internal CCTV	<i>Complete (below standard - draft)</i>	<i>Dec 2010</i>
Health and Safety	<i>Complete (below standard)</i>	<i>Dec 2010</i>
Officers Allowances	<i>Complete (to standard)</i>	<i>Dec 2010</i>
Taxi Licences	<i>Complete (below standard) Opinion raised after immediate implementation of some recommendations.</i>	<i>Dec 2010</i>
Performance Indicators	<i>Complete (to standard)</i>	
Garages and Depots	<i>Complete (above standard)</i>	
Risk Management Action Plans	<i>In Progress</i>	
Housing Strategy	<i>Planned Q3</i>	
Concessionary Fares	<i>Planned Q3</i>	
Grants	<i>Planned Q3</i>	
Development Control	<i>Planned Q3</i>	
Community Safety	<i>Planned Q4</i>	

Summary of Key Issues arising from audits completed to 30th November 2010;

<u>Audit & Opinion</u>	<u>Key Issues</u>	<u>Recommendations</u>	<u>Status: – Follow up due: -</u>
<u>Internal CCTV</u> <u>DRAFT</u> <u>Below Standard</u>	<p>Strengths</p> <ul style="list-style-type: none"> ◇ Officers involved are quick to recognise weaknesses and are working closely with Internal Audit. <p>Weaknesses</p> <ul style="list-style-type: none"> ◇ Policies or Procedures, possible breaches of DPA / HR/ and RIPA, no maintenance or procurement agreements. SLA with Police. 	<p>Recommendations</p> <ul style="list-style-type: none"> ◇ Several recommendations made which will be reported separately. 	Follow up due 2011 Q1.
<u>Health and Safety</u> <u>Below Standard</u>	<p>Weaknesses</p> <ul style="list-style-type: none"> ◇ Ownership for Health and Safety issues. ◇ Possible breaches. 	<p>Recommendations</p> <ul style="list-style-type: none"> ◇ A large number of recommendations have been made in order that risks are addressed swiftly. 	Follow up due Q1 ~ 2011
<u>Officers Allowances</u> <u>To Standard</u>	<p>Strengths</p> <ul style="list-style-type: none"> ◇ All allowances tested were set in accordance with the Council Policy. <p>Weaknesses</p> <ul style="list-style-type: none"> ◇ Details of vehicles/insurance details are not current. ◇ Authorisation is not always sought before expenses are paid. ◇ Officers are receiving essential user allowance who are not claiming regular mileage. 	<p>Recommendations</p> <ul style="list-style-type: none"> ◇ Vehicle details should be brought up to date before mileage is paid. ◇ Consideration should be given to carrying out a review of the posts which are entitled to essential user allowance. 	Audit due 2012/13
<u>Taxi Licensing</u> <u>Below Standard</u> <u>lifted to “To Standard”</u>	<p>Strengths</p> <ul style="list-style-type: none"> ◇ Management are keen to address risks swiftly and introduce tighter controls. <p>Weaknesses</p> <ul style="list-style-type: none"> ◇ Potential Breaches in legislation. ◇ Lack of controls surrounding the issuing of licence plates and ID badges. ◇ Some weaknesses identified 	<p>Recommendations</p> <ul style="list-style-type: none"> ◇ The database in use, should act as the primary record and kept up to date ◇ Consideration should be given to improving 	Due 2012/13

<u>Audit & Opinion</u>	<u>Key Issues</u>	<u>Recommendations</u>	<u>Status: – Follow up due: -</u>
	surrounding fees and income.	the licence renewal arrangements. ◇ Income should be reconciled regularly.	

Opinion Description

<i>Above Standard</i>	Minimal risk identified; a few minor recommendations.
<i>To Standard</i>	Some risk identified; some minor changes should be made.
<i>Below Standard</i>	Some risk identified; some changes should be made.
<i>Well Below Standard</i>	Unacceptable risk identified; major changes must be made.
<i>Unsound</i>	Major risk exists; fundamental improvements are required.

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REPORT TO: OVERVIEW AND SCRUTINY COMMITTEE

DATE: 16 DECEMBER 2010

REPORT OF THE: CUSTOMER SERVICES AND BENEFITS MANAGER
ANGELA WOOD

TITLE OF REPORT: CUSTOMER COMPLAINTS RECEIVED QUARTER 2

WARDS AFFECTED: ALL

1.0 PURPOSE OF REPORT

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

2.0 RECOMMENDATION

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

3.0 BACKGROUND AND INTRODUCTION

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

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

4.0 REPORT DETAILS

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

Angela Wood
Customer Service and Benefits Manager

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Background Papers:

RDC Complaints Procedure

Background Papers are available for inspection at:

[http://www.ryedale.gov.uk/council and democracy/corporate complaints.aspx](http://www.ryedale.gov.uk/council_and_democracy/corporate_complaints.aspx)

SUMMARY OF COMPLAINTS LOG

PERIOD: July – September 2010

SERVICE UNIT	SUMMARY OF COMPLAINT	NO SETTLED WITHIN DEADLINE	RESULTANT SERVICE IMPROVEMENTS / ACTION TAKEN
Customer Services & Benefits	1. Length of time to process appeal.	1	1. Letter sent to customer outlining the appeal process.
Democratic Services		0	
Development Services	1. Unfair conditions imposed on planning decision.	1	1. Letter sent to customer explaining process and actions to date.
Economic & Community	1. Error in TIC booking resulted in inconvenience and loss of revenue.	1	1. Apology and compensation made for loss of income.
Facilities & Emergency Planning		0	
Finance & Revenue Services	1. Dissatisfaction with pursuit of non payment of Council Tax. 2. Dissatisfaction with pursuit of overpayment.	2	1. Letter sent to customer advising of actions and contact to date. 2. Letter sent to customer advising of actions and contact to date.
Forward Planning	1. Site map on website incorrect.	1	1. Website amended and letter of apology sent to customer.

Health & Environment	1. Lack of progress with dealing with a complaint of neighbours dogs.	1	1. All issues addressed and letter sent to complainant and procedures improved for dealing with dog bite cases.
Housing Services		0	
Human Resources		0	
ICT Services		0	
Legal	1. Conduct of Town Council.	1	1. Letter sent to customer advising the powers of the Town Council and the position of Ryedale Council.
Streetscene Services	1. Condition of public toilets in including cleanliness and state of repair. 2. Dissatisfaction with decision to close Malton Market toilets for refurbishment. 3. Dissatisfaction regarding an Excess Charge. 4. Damage to letter box.	4	1. Letter of apology sent to customer and advising of cleansing schedule and recently agreed improvement programme. 2. Letter sent to customer explaining how the decision was made and offering apologies for inconvenience. 3. Letter sent to customer advising of appeal process and use of Short Stay permit. 4. Letter of apology sent to customer and letter box repaired.
Transformation		0	
TOTAL		12	

Agenda Item 9

DERWENT POOL – CUSTOMER FEEDBACK

JULY TO SEPTEMBER 2010	very good	good	fair	poor	very poor
Efficiency of the staff	4	1	0	0	0
Helpfulness of the staff	4	0	0	0	1
Courtesy of the staff	4	0	0	1	0
General cleanliness	1	3	0	0	1
Condition of the facilities	1	0	3	0	1
Safety and security	1	3	1	0	0
Pool water temperature	0	0	3	0	1
Air temperature	1	1	1	1	0
Value for money	2	2	0	0	1
Overall experience	2	2	0	0	1
	20	12	8	2	6

July	Air con in gym is awful - needs improving	
August	The new showers are a nightmare - 2 middle ones don't stay on. People with poor mobility have nowhere to put shampoo	Your comments have been passed on to Ryedale District Council
	A sign in the changing rooms would be good asking parents to dry and change their babies / toddlers before themselves. It is distressing seeing wet children left to cry	Unfortunately this is a decision each and every parent must make.
	It would be helpful if during the adults only session could be extended by 30 mins to 1.30pm	
	You can start with painting the place, flakey walls don't inspire me to think the place is well maintained.	Your comments have been passed on to Ryedale District Council
September		

LIFESTYLES – CUSTOMER COMMENTS FEEDBACK

JULY TO SEPTEMBER 2010	very good	good	fair	poor	very poor
Efficiency of the staff	0	1	0	0	0
Helpfulness of the staff	1	0	0	0	0
Courtesy of the staff	1	0	0	0	0
General cleanliness	0	1	0	0	0
Condition of the facilities	0	0	1	0	0
Condition of the equipment	0	0	1	0	0
Safety and security	0	1	0	0	0
Air Temperature	0	1	0	0	0
Value for money	0	1	0	0	0
Overall experience	0	1	0	0	0
	2	6	2	0	0

July	Can I respectfully ask that the spray disinfectant is filled up every morning in the gym, it is nearly always empty.	We will ensure that this is check every morning
August	A new bench	

RYEDALE POOL – CUSTOMER COMMENTS FEEDBACK

JULY TO SEPTEMBER 2010	very good	good	fair	poor	very poor
Efficiency of the staff	6	3	0	0	0
Helpfulness of the staff	8	1	0	0	0
Courtesy of the staff	7	2	0	0	0
General cleanliness	6	1	1	1	0
Condition of the facilities	6	2	1	0	0
Safety and security	7	2	0	0	0
Pool water temperature	5	2	2	0	0
Air temperature	5	2	0	0	1
Value for money	6	0	2	0	0
Overall experience	6	1	1	0	0
	62	16	7	1	1

July	The provision of water babies	Something we are currently looking at
	My main reason for feedback is the always grubby condition of the foyer toilets. Without doubt this facility is most def not cleaned properly or regularly	Toilets should be checked and cleaned regularly - staff will be reminded of this.
	In school hols please extend adult only sessions up to 10am	Unfortunately the timetable for the summer is now set.
August	If more of the large lockers had useable keys, ie. with bands on, fewer people might leave stuff in the cubicles! If there any point nothing seems to happen.	A full locker audit has been supplied to RDC and we are now awaiting repairs
	Friendly greeting, nice swimming pool	
	Boys had a great time - thank you!	
	Super friendly staff, great facility, will be back	
	Keep swimming free for pensioners	
September	Can you either increase the length of the adult sessions or have more of them?	We have to try to cater for all members of the public, however come November swim fit sessions will give more time for those wishing to do a more structured swim

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Briefing Paper for Overview and Scrutiny 16 December 2010 Police Reform and Social Responsibility Bill

- The Police Reform and Social Responsibility Bill has now started its passage through Parliament, following its introduction to the House of Commons on 30 November 2010.
- This Bill lays out the Government's plans for reforming the policing and licensing systems, establishing directly elected Police and Crime Commissioners to replace Police Authorities and creating new scrutiny committees made up predominantly of Councillors. It also looks to overhaul the Licensing Act 2003 with the introduction of new powers for licensing authorities and amends Temporary Events Notices.

<http://www.homeoffice.gov.uk/publications/legislation/police-reform-bill/>

Summary

Policing

- The Bill seeks to introduce Police and Crime Commissioners, from May 2012 to be directly elected by the public, set local policing priorities and hold chief constables to account whilst protecting the operational independence of the police.
- The Bill also seeks to introduce Police and Crime Panels to scrutinise the work of Commissioners. The Bill proposes these will have a minimum of ten directly elected representatives.
- The Police and Crime Panels will be able to veto a Commissioner's proposed budget by a three quarters majority vote. They will also be able to veto any candidate recommended by the Commissioner for Chief Constable.

Licensing

- Changes to the Licensing Act including supporting licensing authorities to take action locally, within a revised licensing framework.
- Measures to give communities and local authorities greater control over alcohol licensing to tackle problem premises. They will have new powers to restrict premises from selling alcohol late at night if necessary and be able to clamp down harder on premises who persistently sell to children - doubling the fine to £20,000.
- A stronger local influence on licensing decisions by allowing everyone the option to comment on licensing applications – not just those living close to premises, and ensuring health and policing concerns are considered more widely so that the impact of licensing on crime and disorder or public safety can be taken into account.

Policing

Police and Crime Commissioners

Proposals included in the Bill:

- Police Authorities will be abolished and replaced with Police and Crime Commissioners for each force outside of London, with the Mayor of London taking the role in the capital. Their salaries will be set by the Home Secretary on the advice of the Senior Salaries Review Body, and many of their functions are broadly similar to those of Police Authorities.
- Elections for commissioners will be every four years from May 2012 and held on the same day as local elections. The elections will be by the supplementary vote system and Commissioners will be limited to serving two terms.
- Commissioners will be required to produce a Police and Crime Plan, consulting local people on its content. Chief Constables will also have to have regard to the Plan.
- Commissioners will be 'responsible authorities' under the Crime and Disorder Act 1998, and have a duty to co-operate with the criminal justice system.

- Commissioners will have to publish information to allow local people to assess their performance and that of Chief Constables.

The role of the Police and Crime Panels (PCPs)

Councils will have to jointly establish a Police and Crime Panel to scrutinize the work of their Commissioner.

- These will consist of a minimum of ten councillors and two co-opted members. The Panels will have to represent the political make up of the local area.
- The Panel will review and report on the draft Police and Crime Plan, review the annual report, review or scrutinise decisions taken by the Commissioner, and publish any reports it makes to the Commissioner.
- The Panel will have the power to require the Commissioner and members of their staff to attend Panel meetings and respond in writing to any report it issues. The Panel will be able to suspend the Commissioner if they have been charged with an offence carrying a sentence of two or more years in prison.
- The Commissioner's proposed budget will be presented to the Police and Crime Panel, which will then review it and issue a report on it, with there being a power of veto for the Panel based on a three-quarters majority vote.
- Police and Crime Panels will appoint an acting Commissioner from amongst the Commissioner's staff if the Commissioner is incapacitated or is suspended

Extract from Home Office Equality Impact Assessment on Police and Crime Commissioners:

'To assist in ensuring that the Police Crime Commissioner (PCC) has as full regard to diverse community issues and matters within his force area, we will establish a Police and Crime Panel (PCP) for each Force Area to publicly scrutinize the PCC. We have decided that it is best to utilise existing elected individuals from Local Authorities, including district councils, to provide this function and for the Panels to be formed in the following way:

- *The minimum size of a Police and crime Panel within a force area shall be 10 councillors plus 2 co-opted independent members (12)*
- *For a force area that has more than 11 constituent local authorities (Local Authorities) or more, each authority in that area will be required to send 1 elected member to the panel. For example, Thames Valley has 18 Local Authorities and therefore will have a Panel of 20 members (18 + 2 co-opted)*
- *For a force area that has 10 constituent Local Authorities, each LA will be required to send 1 elected member (10 + 2)*
- *For a force area that has 9 constituent Local Authorities or less, each LA will be required to send 1 elected member and the remaining councilor seats will be appointed by the consensus of the continuant Local Authorities up to a maximum of 10 Councillors.*
- *Each PCP will have 2 co-opted members in addition to their Local Authority constituent members. We will set out in legislation the broad selection criteria for the co-opted members of the PCP. In co-opting members, the PCP must secure that, as far as is reasonably practicable, the members of the panel have, between them, the skills, knowledge, and experience necessary for the PCP to discharge its functions effectively.*

The relation of Commissioners and Community Safety Partnerships

- Commissioners and Community Safety Partnerships will be able to enter into collaboration agreements covering more than one partnership, to produce strategies for reducing crime and disorder. A Commissioner will be able to compel partnerships to produce strategies if they are not doing so.

Chief Constables and Police and Crime Commissioners

- Chief Constables will have to obtain the views of people in a neighbourhood about crime and disorder through regular meetings with local police officers and the public.
- Commissioners will be able to appoint, suspend or dismiss the Chief Constable, although the power to appoint deputy and assistant Chief Constables will sit with the Chief Constable not the Commissioner.
- The appointment of a Chief Constable will be subject to approval by the Police and Crime Panel who will be able to veto candidates on a three-quarters majority vote, although a veto by a two thirds majority vote would be preferable to increase the authority of Panels.
- If the Commissioner wishes to dismiss a chief constable the Panel will have to hold a scrutiny hearing and make a report to the Commissioner.

Licensing

New powers for councils

- Licensing authorities will become ‘responsible authorities’, gaining the power to intervene in licensing applications and to take action against existing premises licences where there are problems.
- The ‘light touch’ regime for ‘temporary events’ will be modified to allow council’s environmental health departments to intervene if events would disrupt or endanger the local community.
- The loophole which previously allowed premises to avoid existing controls by using temporary event notices will be closed – licensing authorities will be able to insist that existing licensing controls remain in place, and that the local community is properly protected.
- Councils will also be given more flexible powers to allow temporary events to go ahead, rather than having to adhere to the current rigid rules which have led to the cancellation of events, despite their potential benefit to the local community.
- The maximum period a temporary event can last will be extended to seven days.
- Licensing authorities will gain a crucial new power to suspend licences where annual fees are not paid. This will help councils to recover money owing and to tackle the minority of rogue businesses who do not comply.

Licensing Fees

- No announcement has been made on the Government’s proposals for reforming licensing fees.

Late night levy

- Councils will be able to require late night operators who supply alcohol between midnight and 6am to pay a levy in addition to their existing licence fees. The levy would be payable to licensing authorities, who would then deduct their administrative costs and could then use up to 30% of the levy income in providing extra measures to reduce or prevent crime and disorder. The remaining 70% of levy income must be paid to the police.

Other changes to the licensing system

- The burden on councils to produce, consult on and publish a licensing policy statement every three years will be replaced with a system by which councils can update policies whenever necessary.
- The extension of “Early Morning Restriction Orders to be applicable between 24:00 and 06:00 (previously 03:00 to 06:00)
- Fines for underage sales will be doubled from (from £10,000 to £20,000).

Seizure powers under byelaws

- Local authorities will be able to seize and retain property in connection with any breach of a byelaw.

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REPORT TO:	OVERVIEW AND SCRUTINY COMMITTEE
DATE:	16 DECEMBER 2010
REPORT OF THE:	HEAD OF TRANSFORMATION CLARE SLATER
TITLE OF REPORT:	RISK STRATEGY ANNUAL REVIEW
WARDS AFFECTED:	ALL

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 To present the revised Risk Management Strategy to Members for consideration and approval.

2.0 RECOMMENDATION

- 2.1 It is recommended that Members approve the Risk Management Strategy for 2010-13.

3.0 REASON FOR RECOMMENDATION

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

4.0 SIGNIFICANT RISKS

- 4.1 This strategy defines both the process behind risk management and the appetite of the Council to risk.

REPORT

5.0 BACKGROUND AND INTRODUCTION

- 5.1 The Risk Management Strategy was last approved by Members in December 2009. The revised Risk Strategy for the Council is attached at Annex A.
- 5.2 The primary objectives of the strategy are to:-
- Further develop risk management and raise its profile across the Council.
 - Integrate risk management further into the organisational culture of service planning and managing performance.

- Further embed risk management through the ownership and management of risk as part of all decision-making processes, both at officer and member level.
- Manage risk in accordance with best practice.
- Create effective processes that will allow the council to produce risk management assurance statements annually.

6.0 POLICY CONTEXT

6.1 Risk management is essential to ensuring the delivery of the Council Plan and also maintaining effective governance arrangements. Following the demise of the Comprehensive Area Assessment inspection regime, it is anticipated that any future external audit arrangements will be risk based.

7.0 CONSULTATION

7.1 The Risk Management Strategy is developed and managed by the Council's Management Team. All service areas are therefore involved in its development through the Corporate Planning Framework.

8.0 REPORT DETAILS

8.1 The Risk Management Strategy is attached at Annex A.

8.2 Additions to the Risk Strategy include the following:

- An action plan for delivering effective Risk Management
- An annual plan for Risk reporting to Overview and Scrutiny Committee

9.0 IMPLICATIONS

9.1 The following implications have been identified:

- a) Financial
The role of supporting Risk Management within the Council is now being undertaken by members of the Transformation Team. This results in a financial saving to the Council and will facilitate improved integration of Risk management into service planning, performance management, project management and management of significant partnerships.
- b) Legal
None.
- c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)
None.

Clare Slater
Head of Transformation

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Background Papers:

Council Plan 2009-13

Annual Governance Statement

Risk Registers:

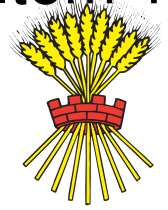
- Corporate Risk Register
- Service Risk Registers
- Significant Partnerships Risk Register

Background Papers are available for inspection at:

Covalent

www.ryedale.gov.uk

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Annex A



Risk Management Strategy 2010 - 13





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1. Introduction

This document sets out a strategy for implementing and embedding risk management within Ryedale District Council.

To ensure that the strategy remains focused and in keeping with the overall aims and objectives of the Council there is a need to review it on an annual basis. As such this document has been reviewed in December 2010.

Sound risk management, if embedded, will achieve many benefits for the Council. These include assisting in setting priorities (focusing on key risks), service planning and demonstrating to stakeholders that the Council is continuously improving by managing areas of key concern, both at corporate and service-based levels. It should also be employed in the management of partnerships and projects.

The challenge is to implement risk management without significantly increasing workloads. This is achieved by making risk management part of existing processes rather than treating it as a separate function.

The objectives of the strategy are to:-

- Further develop risk management and raise its profile across the Council;
- Integrate risk management further into the organisational culture, service planning and performance aspects of the organisation;
- Embed risk management through the ownership and management of risk as part of all decision-making processes, both at officer and member level.
- Manage risk in accordance with best practice;
- Create effective processes that will allow the council to produce risk management assurance statements annually.

This strategy demonstrates how Ryedale District Council is meeting its responsibility to manage risks using a structured and focused approach.

2. Risk Management Philosophy

The Risk Management Philosophy of the Council is to adopt processes which will identify measures and either eliminates or controls risks that the Council is exposed to.

It is acknowledged that not all risks will be identified nor eliminated, particularly those of a minor nature. However, all employees should understand the nature of principal risks in their business area.

3. What is Risk Management?

Risk Management can be defined as:

“Risk is the threat that an event or action will adversely affect an organisation’s ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled”

Risk management is a strategic tool and is an essential part of effective and efficient management and planning. As a strategic tool, risk management identifies those issues that will act as a barrier



to Ryedale District Council achieving its objectives. Appendix 1 to this document sets out the main areas of risk for Local Authorities.

The Council's approach is to be **risk aware** rather than **risk averse** and to manage risk rather than to seek to eliminate it in all cases.

There are two types of risks:-

- **direct threats** (damaging events) which could lead to a failure to achieve objectives.
- **opportunities** (constructive events) which if exploited could offer an improved way of achieving objectives, but which are surrounded by threats.

The Strategy has critical links to the following areas:-

- Our Strategic Objectives.
- Our Corporate Governance Arrangements.
- Our Community Focus.
- Our Organisational Structures and Processes.
- Our Standards of Conduct.
- Our Service delivery arrangements.
- Our Medium Term Financial Strategy.
- Our Annual Governance Statement (AGS).

4. Why do we need a Risk Management Strategy?

There are three main reasons why risk management is undertaken and a strategy is put in place to ensure that it is embedded within the Council's decision-making framework:-

- Risk management is about identifying those issues that will prevent Ryedale District Council from being successful in achieving its corporate and service-based objectives, as well as successful involvement in partnerships and projects. If these issues are successfully managed then Ryedale District Council is more likely to achieve its objectives. Risk Management is good management and should be incorporated in all decision-making of the Authority. Risk management is also about identifying risk-based opportunities.
- Risk management is also an essential part of the Annual Governance Statement (AGS), which the Council has to produce annually. The AGS comments on the Council's position in relation to risk management, corporate governance and internal control. The strategy underpins the approach to risk management at Ryedale.

5. What are the benefits of risk management?

- Increases likelihood of achieving objectives by identifying the barriers to achievement - improved strategic management.
- Become less risk averse in innovation (because you understand) and hence more innovative.
- Improve business planning through a risk based decision making process.
- Improved operational management.
- Improved financial management.
- Improved customer service.
- Enhance performance - feeds into performance management framework.
- Focus on doing what matters to make a difference. Demonstrable improvement.
- Better governance - and demonstration of it to stakeholders



6. What is the Risk Management Process?

Implementing the strategy involves identifying, analysing, managing and monitoring risks. Risk management is a **continuous** process, which involves continual **identification, assessment and management** of the risks faced by the Council. Appendix 2 to this document details the process.

The Risk Management Process



The information resulting from the risk management process acts as one of eight key pieces of information that feed into the priorities of the Council.

7. Risk Management linking into Corporate Planning

The information resulting from the risk management process acts as one of eight key pieces of information that feed into the priorities of the Council.





8. Risk Strategy for Ryedale District Council

The success of risk management depends on how well it links into existing processes.

This strategy recognises the three main types of risk management undertaken within local government, namely:

- **Corporate Risk Management:** those items that have major consequences for the Council in achieving its overall goals.
- **Service-Based Risk Management:** those risks which impact on delivery of services including welfare issues, health and safety, asset management issues etc.
- **Partnership and Project-Based Risk Management:** those risks that impact on the delivery of partnerships, projects and major items of change management.

The Councils Risk Management Objectives

The Risk Management objectives of the Council are:-

- To integrate risk management into the day to day activities of the Council;
- To identify and measure risks associated with business decisions;
- To eliminated or control risks associated with business decisions;
- To review risks in response to changes in the internal and external environment of the Council;
- To raise awareness of risk management within the organisation.

The objectives will be achieved by:-

Action Ref	Action	Lead
CSR 01	Maintaining an up to date Risk Strategy	Transformation
CSR 02	Providing practical guidance to staff and Members	Transformation
CSR 03	Including risk management issues within Service Delivery Plans	Heads of Service
CSR 04	Including risk management assessments in Committee reports;	Heads of Service
CSR 05	Including risk management within financial procedure rules;	Director (s151)
CSR 06	Allocating specific responsibilities for risk to officers throughout the organisation	Director (s151)
CSR 07	Appointing a Member Risk Champion	Council
CSR 08	Supporting the work of the Risk Member Champion	Transformation
CSR 09	Review of risk management arrangements as part of the review of internal controls	NYAP
CSR 10	Annual report to Overview and Scrutiny reviewing the risk management process	NYAP
CSR11	Maintaining contingency plans in areas where there is potential for risk to the Council's business capability	Heads of Service
CSR12	Providing risk management awareness training for members and officers	Transformation
CSR13	Statement on risk management to be included in the Annual Governance Statement which forms part of the Statement of Accounts of the Council	NYAP
CSR14	Challenging the progress being made on the action plans relating to the Corporate Risk Register	O and S
CSR15	Challenging the progress being made on the action plans relating to the Significant Partnerships Risk Register	O and S
CSR 16	Challenging the progress being made on the action plans relating to Service Risk Registers	O and S



A number of issues have been borne in mind when setting this strategy:-

- The relative size of the authority.
- The current planning process/performance frameworks that have already been adopted.
- The need to ensure integration between service-based risk management and corporate risk management.

8. Partnership Working

The Council recognises both the benefits and the risks of partnership/joint working. It seeks to manage these risks through agreeing partnership objectives, procurement arrangements, contracts and other agreements that identify and allocate risks to the relevant partners. To minimise the likelihood and impact of a significant failure in its partnerships, the Council encourages its partners to demonstrate that they have effective risk management arrangements in place and to disclose those arrangements when entering into partnership.

9. Annual review of Risk Management Strategy

Management Team will annually review the Council's Risk Management Strategy in light of changing legislation, government initiatives, best practice and experience gained within the Council in adopting the strategy. Any amendments will be recommended by Management Team for approval by Members.



Appendix 1

Risk Management Methodology

Implementing the strategy involves identifying, analysing, managing and monitoring risks

Stage 1 – Identification, analysis, profiling and prioritisation of risks

Identifying the risks

There are different methods to identify risks. Workshops should be held by *SMT* and within service units encouraging officers to share their concerns, problems and potential risks that they foresee.

It is also recommended that a review of published information such as service plans, strategies, financial accounts, media mentions, inspectorate and audit reports are a useful source of information.

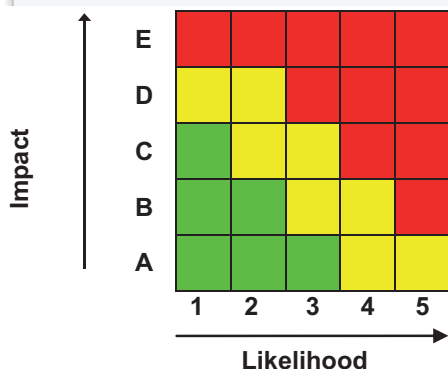
When identifying risks it is suggested that the following categories of possible risk areas be used. They will act as a prompt and as a trigger for officers involved in the process. They will ensure that a holistic approach to risk identification is taken and that the risk process does not just concentrate on operational, financial or legal risks. Examples of risks from each category can be found in Appendix 1.

Analysis, Risk Profiling and prioritisation

Following identification, the risks need to be entered into the Risk Register on Covalent and evaluated. Management will look at the risks identified and decide their ranking according to the likelihood of the risk occurring and its impact, if it did occur. A matrix is used to plot the risks and once completed this risk profile clearly illustrates the priority of each scenario.

Although the risk profile produces a priority for addressing each risk determining the group's appetite for risk can enhance this. All risks above the appetite cannot be tolerated and must be managed down, transferred or avoided. The appetite for risk will be determined by management.

The risk profile used by Ryedale and key is shown below:



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



Using Covalent to manage and monitor risk allows the risks to be linked to projects, service delivery plan actions and performance indicators.

Risks are categorised as:

High 

Medium 

Low 

Risks falling within the medium and high categories require mitigating action. If these are existing service delivery plan actions they should be linked to the risk on Covalent. Alternatively, a new action should be set up in the service delivery plan and linked to the risk. The progress in delivering these actions can then be monitored using Covalent.

Covalent has an on-line help resource which can be viewed at this location:

<http://support.covalentcpm.com/webhelp/index.html?riskcentral.htm>

When prioritising risks, those located in the top, right hand side box are the first priority or the most important risks to be managed. The risk scores can then guide the next level of priorities.

Stage 2 - Action Planning

The potential for controlling the risks identified will be addressed through the management action plans. Most risks are capable of being managed – either through mitigation planning (managing down the likelihood), contingency planning (managing the impact) or a mixture of both. Relatively few risks have to be avoided or transferred, although there will be a greater tendency to transfer (insure) risks that have a high impact, but a low likelihood. Action plans will also identify the resources required to deliver the improvements, key dates and deadlines and critical success factors/KPIs.

These actions should not be seen as a separate initiative but should be incorporated into the business planning process and included and linked to service delivery plans on Covalent.

Stage 3 Management of risks

Reports are generated from Covalent to present to Members. Covalent can also be accessed on-line by senior management, members and auditors.

Forward Plan for O and S Committee

Lead	Item	Date
Head of Service	Service Risk Register – Each to be considered annually on a rota	One to each meeting
Transformation	Significant Partnerships Risk Register	February 2011
Transformation	Corporate Risk Register and six monthly review of actions	February 2011 October 2011
NYAP	Risk Management Statement in Annual Governance Statement	June 2011
Transformation	Annual review of the Risk Management Strategy	December 2011
Transformation	Annual Report on Risk Management Arrangements	April 2011



Categories of Risk		Appendix 2
Risk	Definition	Examples
Political	Associated with the failure to deliver either local or central government policy or meet the local administration's manifest commitment	New political arrangements, Political personalities, Political make-up
Economic	Affecting the ability of the council to meet its financial commitments. These include internal budgetary pressures, the failure to purchase adequate insurance cover, external macro level economic changes or consequences proposed investment decisions	Cost of living, changes in interest rates, inflation, poverty indicators
Social	Relating to the effects of changes in demographic, residential or socio-economic trends on the council's ability to meet its objectives	Staff levels from available workforce, ageing population, health statistics
Technological	Associated with the capacity of the Council to deal with the pace/scale of technological change, or its ability to use technology to address changing demands. They may also include the consequences of internal technological failures.	E-Gov. agenda, IT infrastructure, Staff/client needs, security standards
Legislative	Associated with current or potential changes in national or European law	Human rights, TUPE regulations etc
Environmental	Relating to the environmental consequences of progressing the council's strategic objectives	Land use, recycling, pollution
Professional Managerial	Associated with the particular nature of each profession, internal protocols and managerial abilities	Staff restructure, key personalities, internal capacity
Financial	Associated with financial planning and control	Budgeting, level of council tax & reserves
Legal	Related to possible breaches of legislation	Client brings legal challenge
Physical	Related to fire, security, accident prevention and health and safety	Office issues, stress, equipment use etc
Partnership Contractual	Associated with failure of contractors and partnership arrangements to deliver services or products to the agreed cost and specification	Contractor fails to deliver, partnership agencies do not have common goals
Competitive	Affecting the competitiveness of the service (in terms of cost or quality) and/or its ability to deliver best value	Position in league tables, accreditation
Customer Citizen	Associated with failure to meet the current and changing needs and expectations of customers and citizens	Managing expectations, extent of consultation



Roles and Responsibilities

Appendix 3

Elected Members

Members have the role of overseeing the effective management of risk by officers. In effect this means that they will agree the Strategy, framework and process put forward by officers – as well as the priorities for action. They will also review the effectiveness of risk management.

They may also be involved in providing reports to stakeholders on the effectiveness of the risk management framework, Strategy and process.

Members are ultimately responsible for risk management because the risks threaten the achievement of policy objectives.

Management Team

Management Team are pivotal to the Risk Management process as they set the risk appetite for the organization through the projects, initiatives and cross cutting activities that they endorse and champion.

Officer Risk Champion/Internal Audit

The Officer Risk Champion is responsible for the implementation of the integrated framework, Strategy and process on behalf of the Council and its Management Team. The champion is essentially fulfilling a controlling and facilitation role – to ensure the processes are implemented and to offer guidance and advice.

Transformation Team

The Transformation Team will support the development of risk management within the Council, developing the risk management process and integration through Covalent, and working with officers and members to monitor actions against identified risks.

The team will also lead on the development and management of the Corporate Risk Register, Significant Partnerships Register, Risk associated with Projects and will prepare the Annual Report of Risk Management and revision of the Risk Strategy.

Supporting Services

Other support functions, e.g. finance, human resources, health and safety, legal, IT, will also have a role in providing support and advice.

Heads of Service

Heads of Service are responsible for managing their Service Risks, Partnership Risks (when they are the lead officer for the partnership) and Project Risk and ensuring that risk activity and targets are achieved and updated on a timely basis.

Partners

Ryedale District Council works with a wide range of partners in delivering its services. It is important that those partners are brought into the risk management framework. At times it will be appropriate for partnerships / shared services to be undertaken, however, it is essential that accountabilities are adequately determined and that Ryedale District Council does not overlook any risks that may fall on



it arising from its part in a joint venture. Even where there is transfer of operational risks, for example under a PFI, there will undoubtedly be some residual risks falling on the authority. It is **not** possible to outsource the risk management process.

Internal Audit (NYAP)

The Internal Audit team from another partner Council provides independent assurance on the effectiveness of controls within the Council. In order to do this, the annual audit plan is designed to review key risks, as identified within the corporate risk register.

As part of the production and presentation of the annual Head of Internal Audit Opinion to the Overview and Scrutiny committee, Internal Audit comments on the appropriateness of the risk management process within the Council; as well as identifying areas of low assurance and associated actions required.

The Importance of an Integrated Approach

In essence, the framework detailed above should provide a consistent, integrated top-down meets bottom-up approach to risk management – embedding it into Strategy and operations Risk Management must continue to be integrated and play a key role in the decision making process in the future.



REPORT TO:	OVERVIEW AND SCRUTINY COMMITTEE
DATE:	16 DECEMBER 2010
REPORT OF THE:	HEAD OF TRANSFORMATION CLARE SLATER
TITLE OF REPORT:	SCRUTINY REVIEWS PROGRESS REPORT – HEALTHY WEIGHT AND POST OFFICES
WARDS AFFECTED:	ALL

EXECUTIVE SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 To present the progress achieved to date with the scrutiny reviews currently being undertaken.
- 1.2 To amend the terms of reference for the Post Office Scrutiny Review

2.0 RECOMMENDATION

- 2.1 That members note the progress and the dates of future meetings of the task groups.
- 2.2 That the Aims included in the Terms of Reference for the Post Offices Scrutiny Review be amended to say:

‘To find practical ways by which Ryedale DC and its partners can:

- Improve the availability of services in local communities.
- Provide an evidence base from which to influence future changes or reductions in levels of service
- To consider the options for delivering these services in future’

3.0 SIGNIFICANT RISKS

- 3.1 Any risks associated with the reviews are detailed in the report below.

4.0 BACKGROUND AND INTRODUCTION

- 4.1 The Overview and Scrutiny Committee has commissioned two scrutiny reviews and the terms of reference have previously been agreed by this committee for each of these. These are attached at annex A.

- 4.2 Following discussion at the task group for the Post Office review about the changing national policy context for the post office service, the task group would like the committee to revise the aims of the review as detailed above. A recent publication issued by the Department for Business Innovation and Skills 'Securing the Post office Network in the Digital Age' states that 'There will be no programme of post office closures under this Government'.
- 4.3 The Healthy Weight Review Task Group received a presentation from the Health Improvement Manager from NHS North Yorkshire and York. Whilst this presentation clarified the current position in Ryedale and the improvements being made, it was also made clear the need to develop a very clear and focussed scope for the review. This lesson has been learned in a number of other areas of the country when reviewing this work area.
- 4.4 Action Plans have been developed for each of the reviews following their inaugural meetings.

5.0 CONSULTATION

- 5.1 A community Engagement Plan is being developed for each review and these will be agreed at the January meetings of each review task group.

6.0 REPORT DETAILS

6.1 Post Office Review:

The purpose of the meeting was:

- To confirm the scope of the review
- To confirm the Terms of Reference for the Review
- To decide on the next steps
- To assign roles – Who will do What?
- To establish a schedule of future meetings

As Stated above, the Department for Business and enterprise has recently published a document which clearly states the intentions of the government in relation to the future of the Post Office network. This document links to but is independent of The Postal Services Bill which was introduced to parliament on 13 October 2010.

In the publication 'Securing the Post Office Network in the Digital Age' the Department for Business Innovation and Skills makes the following statements:

- We recognise that the Post Office is more than a commercial entity and serves a distinct social purpose.
- We will ensure that post offices remain a valuable social and economic asset or our communities and businesses.
- There will be no programme of post office closures under this Government.
- The Post Office is not for sale.
- We will provide £1.34 billion for the Post Office to modernise the network and to safeguard its future, making it a stronger partner for Royal Mail.
- We want to see the Post Office become a genuine Front Office for Government at both the national and local level.
- We will support the expansion of accessible and affordable personal financial services available through the Post Office.
- We will support greater involvement of local authorities in planning and delivering local post office provision.

- We will create the opportunity for a mutually owned Post Office.

Key Points arising from the discussions at the Task Group meeting included:

- It is difficult to determine which services are available at which branch/outreach service within Ryedale.
- We need to understand how communities feel about the services they do or don't receive.
- We would like to speak to sub-postmasters and providers of outreach services within Ryedale to find out their views on the current situation and implications of proposed future changes.
- From the research undertaken in Wales we learnt that impacts of closure and outreach provision fall heaviest on the most vulnerable consumers.
- The BIS have published a report entitled Securing the Post office Network in the Digital Age on 12 November 2010. The implications of this report need to be identified.
- We need to analyse costs associated with payments of Council Tax at the post office and profile the users of this service.
- We need to understand the implications of our post offices taking on additional local government services.

Actions to be taken following the meeting include:

- Meeting a local Sub-postmaster
- Meeting with a provider of the mobile services in an area of Ryedale
- Meeting with a representative of the Post Office network
- Finding out more about the potential for the proposed model of the 'Post Office Local'
- Discuss links to future changes to one stop shops and the access to services programme with NYCC and partners
- Study use of payment cards
- Design an approach to meeting with customers, following meeting with sub-postmaster

6.2 Health Weight Review:

The Healthy Weight Task Group were given a detailed and technical presentation by Greg McGrath, Health Improvement Manager for NHS North Yorkshire and York. The presentation covered the following topics:

- County Wide Approach
- Complex multifaceted system of determinants
- Ryedale Approach
- National Child Measurement Programme data
- Health Inequalities
- Market Segmentation
- Local Health Summary
- Life Course Approach
- Obesity and Socio Economic Status
- Online Weight Management Toolkit

One of the key messages from the presentation was that in Ryedale the situation is improving and levels of childhood obesity are improving. This is as a result of concerted and focussed effort from partners across the public sector. Ryedale is ahead of other areas in having taken this approach. The challenge is how to keep

this work going through the next few years in light of changes to the public sector and abolition of the PCT's and the spending pressures all partners will experience.

Another point was that there is a complex multifaceted system of determinants of an individual's weight and that there are only three of these over which we can try to have any influence, namely:

- Individual psychology
- Individual activity and the
- Activity environment

A summary of the data available at all levels was provided as follows:

- There are significant inequalities in obesity prevalence among children for both girls and boys, and across different age groups.
- The pattern of socioeconomic inequalities and obesity is consistent across a variety of different measures of deprivation using three different data sources: the National Child Measurement Programme (NCMP), the Health Survey for England (HSE) and the Millennium Cohort Study (MCS).
- There is an almost linear relationship between obesity prevalence in children and the Index of Multiple Deprivation (IMD) 2007 score for the area they live in. Child obesity prevalence in the most deprived tenth of local areas is almost double that in the least deprived tenth.
- Child obesity prevalence also varies by occupation-based social class. Children in households where the main income-earner works in a professional occupation have lower rates of obesity than those where the main income-earner is in a manual occupation

Other key points arising from the presentation included:

- Make sure you fine tune the scope of the review as it will become far too complicated
- Choose either adults or children
- Choose one or at most two areas from the life course approach
- Keep in mind the possible transition of Public Health into Local Authority structures
- Keep in mind the wider determinants of health; Education, Housing, Occupation and Income
- Be aware that PCTs will be abolished by March 2013
- Practice Based Consortia will hold funding
- Changes in current provision; School Sports partnerships, Healthy School Status and Sport England
- Changes in performance monitoring
- Interpreting national guidance suggests Health and Wellbeing is not a priority but sits on the periphery of school education

The task group will therefore take some time to consider the issue in Ryedale as described in the presentation and will then confirm the focus and scope of the review at their next meeting in January. An action plan has been prepared following the inaugural meeting of the task group.

7.0 DATES OF NEXT MEETINGS

Post Office Scrutiny Review Task Group
10 January 2011, 6.30pm, Ryedale House

Healthy Weight Scrutiny Review Task Group

24 January 2011, 6.30pm Ryedale House

Clare Slater
Head of Transformation

Author: Clare Slater, Head of Transformation
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Background Papers:

Post Offices:

Securing the Post Office Network in the Digital Age

Research summary and other papers available in Transformation Team

Healthy Weight:

Presentation on the current position in Ryedale – Greg McGrath, Health Improvement Manager, NHS North Yorkshire and York

Profiling and data related to healthy weight in Ryedale and Nationally

Papers available in Transformation Team

Annex A

Impact of Post Office Closures Scrutiny Review –Terms of Reference

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

Healthy Weight Scrutiny Review – Draft Terms of Reference

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

