



## **OVERVIEW AND SCRUTINY COMMITTEE**

Thursday 17 February 2011 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 16 December 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 **Treasury Management Statement & Investment Strategy 2011-12** (Pages 9 - 30)
- 6 **Annual Governance Statement Action Plan** (Pages 31 - 38)
- 7 **Quarter 3 - Internal Audit Report** (Pages 39 - 52)
- 8 **Half Year Corporate Risk Management Monitoring Report** (Pages 53 - 68)

9 **Service Risk Register for Transformation** (Pages 69 - 80)

10 **EXEMPT ITEM**

It is RECOMMENDED that the public be excluded during any consideration of Annex C to Agenda item 11 Safer Ryedale Progress with the Community Safety Plan since it is likely that if they were present during its consideration there would be disclosure of exempt information as defined in Part 1 of Schedule 12A to the Local Government Act 1972 (as amended) paragraph 7: "Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime." and since it is considered that, in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information, in that such disclosure would prejudice any action taken or be taken in connection with the prevention, investigation or prosecution of crime.

NOTE: The report itself does not contain exempt information and is therefore available to the public. THE EXEMPT INFORMATION IS CONTAINED ONLY IN CONFIDENTIAL ANNEX C TO THE REPORT WHICH HAS BEEN CIRCULATED ONLY TO THOSE MEMBERS AND OFFICERS ENTITLED TO RECEIVE IT.

11 **Safer Ryedale Progress with Delivering the Community Safety Plan** (Pages 81 - 156)

12 **Scrutiny Reviews Progress Report - Healthy Weight and Post Offices** (Pages 157 - 162)

13 **Decisions from other Committees** (Pages 163 - 176)

Commissioning Board held on 27 January 2011  
Policy and Resources held on 3 February 2011

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

## **Overview and Scrutiny Committee**

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Held at Members' Lounge, Ryedale House, Malton  
on Thursday 16 December 2010

### **Present**

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Councillors Mrs Shields (Chairman), Andrews, Clark, Maud, Raper and Mrs Wilford

### **In Attendance**

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Audrey Adnitt, Paul Cresswell, Clare Slater, Gary Housden and James Ingham

### **Minutes**

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#### **46 Apologies for absence**

Apologies were received from Councillors Cottam, Cussons and Windress.

#### **47 Minutes of the meeting held on the 7 October 2010**

The minutes of the meeting of the Overview & Scrutiny Committee held on the 16 December 2010 were presented.

#### **Resolved**

That the minutes of the meeting of the Overview & Scrutiny Committee held on the 7 October 2010 be approved and signed by the Chairman as a correct record.

#### **48 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).

#### **49 Declarations of Interest**

Councillor Mrs Wilford declared a personal interest in item 13 as the District Council Representative on the Malton Museum Board.

Councillor Clark declared a personal interest in item 13 as he had a private water supply.

#### **50 Annual Audit Letter on the 2009/10 Audit**

The Chair welcomed Alistair Lince representing Deloitte to the meeting. Mr Lince presented a report (previously circulated) in connection with the Council's Annual Audit Inspection Letter.

The report summarised the key matters arising from the work that Deloitte had carried out in respect of the year ended 31 March 2010.

The report was set out under the following headings:

- Key messages
- Purpose, responsibilities and scope
- The audit of the accounts
- Value for Money
- Other Matters
- Closing remarks

It was noted that there were no material weaknesses and that the Council needed 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 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.

A discussion followed and Councillor Andrews requested some further information regarding the number of audit days undertaken, and the average hourly rate.

### **Resolved**

That the report be received.

## **51 Service Risk Register for Planning Services**

The Head of Planning submitted a report (previously circulated) in order to present the Service Risk Register for those services under the Head of Planning.

Service Risk Registers (SRR) were originally established from work undertaken by the Audit Partnership in conjunction with Service Unit

Managers, however, since the management restructure they were now the responsibility of the Heads of Service.

Annex A outlined the SRR for the Head of Planning, and was presented to the Committee in order to highlight changes to risks and work undertaken to mitigate those risks. Work was ongoing to complete the Local Development Framework (LDF), but it was possible that the newly published Localism Bill could have some impact on the LDF.

**Resolved**

That the report be received.

**52 Treasury Management Mid Year Review 2010/11**

The Corporate Director (s151) submitted a report (previously circulated) in order to provide an update on treasury management activities 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).

The comprehensive Mid Term report covered the following areas:

- 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.

A discussion followed, and the Corporate Director advised that as interest rates remained very low, it was very difficult to achieve a good return.

**Resolved**

- a. That the report be received.
- b. That the mid year performance of the in-house and externally managed funds to date be noted.

**53 Internal Audit Report - Quarter 2**

The Corporate Director (s151) submitted a report (previously circulated) in order to present the Interim Internal Audit Report for the period ending 30 November 2010.

The Accounts and Audit Regulations required all Councils to annually review their systems of internal control and to provide an adequate and effective Internal Audit Function, and the Interim Internal Audit Report from the North Yorkshire Audit Partnership was attached at Annex A.

The report highlighted issues that the audits had identified and provided a summary of them. It also outlined any issues emerging from the audits of the principal financial systems of the Council, together with any significant comments from other audits completed in the year to date.

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

Members discussed the report in detail, and further information was provided in relation to the “below standard” audits.

The areas which had generated concern were as follows:

- Controls surrounding Internal CCTV. The audit had been completed in draft and discussions continued to be held with the officers involved. A further report would be brought to the next meeting.
- The lack of a dedicated Officer resulted in the Health & Safety function lapsing to a degree and there was limited contingency in place whilst the position was vacant. The Council had now appointed a part time Health & Safety officer which now provided that function.
- The Taxi Licensing audit reported a number of significant control weaknesses. These had been recognised by management and swiftly addressed which had resulted in the overall audit opinion being lifted.

### **Resolved**

That the report be noted.

54

### **Customer Complaints received July to September 2010**

The Customer Services and Benefits manager submitted a report (previously circulated) in order to inform Members of the number and type of complaints received under the Council’s complaint procedure for the period July to September 2010.

The report included complaints monitored under individual service complaints systems and a summary of customer feedback to Community Leisure Ltd (CLL) for the period July – September 2010 together with action taken appropriate.

**Resolved**

That the report be noted.

55 **Police Reform and Social Responsibility Bill Summary**

The Head of Transformation submitted a briefing paper (previously circulated) which summarised the Police Reform and Social Responsibility Bill.

The Bill laid 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 looked to overhaul the Licensing Act 2003 with the introduction of new powers for licensing authorities and amendments to Temporary Event Notices.

**Resolved**

That the report be received.

56 **Risk Management Strategy Annual Review**

The Head of Transformation submitted a report (previously circulated) in order to present the revised Risk Management Strategy to Members for consideration.

The Risk Management Strategy was last approved by Members in December 2009, and the revised Risk Management Strategy was attached at Annex A.

The primary objectives of the strategy were 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 would allow the Council to produce risk management assurance statements annually.

The revisions to the strategy included:

- a. An action plan for delivering effective Risk management
- b. An annual plan for Risk reporting to Overview & Scrutiny Committee.

The Head of Transformation and her team were to have a preliminary meeting with Councillor Clark (Risk Champion) in the near future regarding the role of the Member Champion.

### **Resolved**

That the Risk Management Strategy for 2010-13 be approved.

57

### **Scrutiny Reviews Progress Report - Healthy Weights & Post Offices**

The Head of Transformation submitted a report (previously circulated) in order update Members on the progress achieved to date with the scrutiny reviews currently being undertaken.

The Committee had commissioned two scrutiny reviews and the terms of reference had previously been agreed by this committee for each of these (attached at annex A).

#### **Post Office Review**

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 requested that the committee revise the aims of the review as detailed below.

A recent publication issued by the department of 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'.

The suggested amendment was to find practical ways by which Ryedale District Council and its partners can:

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

Actions that were identified at the meeting included:

- A meeting with 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



## Healthy Weights

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

Key points arising from the presentation included:

- Make sure you fine tune the scope of the review or it would 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 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 PCT's will be abolished by March 2013
- Practice Based Consortiums will hold funding
- Changes in current provision, School Sports Partnership, Healthy School Status and Sport England
- Changes in performance monitoring
- Interpreting national guidance suggests Health & Well being is not a priority but sits on the periphery of school education.

The task group would now take some time to consider the issue in Ryedale as described in the presentation and would then confirm the focus and scope of the review at their next meeting in January.

### Resolved

That the report be received, and as recommended the terms of reference for the post office review be amended.

## 58 Decisions from other Committees

Decision lists from the following Committees were submitted:

(Re-arranged) Commissioning Board held on 8 December 2010

Policy & Resources held on 9 December 2010

Councillor Andrews referred to the Decision List relating to the Policy & Resources Committee, and The Development Plan and the Decision Making Process. This item had been a part A item on the agenda, and therefore would not be referred to Council for approval. Councillor Andrews was

particularly concerned about the Five Year Land Supply, and was of the opinion that the matter should be referred to Council.

The Corporate Director (s151) advised that items were only referred to Council if there was a change in policy or budget. In this case the decision retained the existing policy. Councillor Andrews was advised that he could consider a "call in" of the decision subject to satisfactory completion of the call in procedure, or alternatively write to the Chief Executive and request the item be added to the agenda for the next meeting of the Overview and Scrutiny Committee. Councillors discussed the point in detail and were of the opinion that the query had brought up some points, which would require further clarification. The Corporate Director (s151) agreed to research the constitutional issue and provide further information to Members of the Committee.

### **Resolved**

That the decision lists of the Commissioning Board held on the 8 December 2010 and the Policy & Resources Committee held on the 9 December 2010 be received.

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

There were no items of urgent business.

## OVERVIEW AND SCRUTINY ITEM, FOR CONSIDERATION PRIOR TO FULL COUNCIL

**RYEDALE  
DISTRICT  
COUNCIL**



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<b>REPORT TO:</b>	<b>FULL COUNCIL</b>
<b>DATE:</b>	<b>21 FEBRUARY 2011</b>
<b>REPORT OF THE:</b>	<b>CORPORATE DIRECTOR (s151) PAUL CRESSWELL</b>
<b>TITLE OF REPORT:</b>	<b>TREASURY MANAGEMENT STRATEGY STATEMENT AND ANNUAL INVESTMENT STRATEGY 2011/12</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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### **EXECUTIVE SUMMARY**

#### **1.0 PURPOSE OF REPORT**

- 1.1 To consider the Treasury Management and Annual Investment Strategies, the Minimum Revenue Provision Policy and set the Prudential Indicators for 2011/12.

#### **2.0 RECOMMENDATIONS**

- 2.1 It is recommended that:

- (i) Members receive this report;
- (ii) The Treasury Management and Investment Strategies be noted and approved by the Council.
- (iii) That the Prudential Indicators (Annex E in the report) be approved by the Council.

#### **3.0 REASON FOR RECOMMENDATIONS**

- 3.1 The Chartered Institute of Public Finance & Accountancy (CIPFA) Code of Practice on Treasury Management in Local Authorities (The Code) was adopted by the Council.
- 3.2 The Local Government Act 2003 and supporting regulations requires the Council to have regard to specified codes of practice, namely the CIPFA publications *Prudential Code for Capital Finance in Local Authorities* and *Treasury Management in the Public Services; Code of Practice and Cross Sectoral Guidance Notes*.

## **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 policy, these are minimised. The employment of Treasury Advisors also helps reduce the risk.

## **REPORT**

### **5.0 BACKGROUND AND INTRODUCTION**

- 5.1 Treasury management 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."

#### **Statutory Requirements**

- 5.2 The Local Government Act 2003 (the Act) and supporting regulations require the Council to 'have regard to' the CIPFA Prudential Code and the CIPFA Treasury Management Code of Practice to set Prudential and Treasury Indicators for the next three years to ensure that the Council's capital investment plans are affordable and sustainable.
- 5.3 The Act therefore requires the Council to set out its treasury strategy for borrowing and to prepare an Annual Investment Strategy (as required by Investment Guidance subsequent to the Act and included in this report).; this sets out the Council's policies for managing its investments and for giving priority to the security and liquidity of those investments.
- 5.4 The Department of Communities and Local Government has issued revised investment guidance which came into effect from 1 April 2010. There were no major changes required over and above the changes already required by the revised CIPFA Treasury Management Code of Practice 2009.

#### **Balanced Budget Requirement**

- 5.5 It is a statutory requirement under Section 33 of the Local Government Finance Act 1992, for the Council to produce a balanced budget. In particular, section 32 requires a local authority to calculate its budget requirement for each financial year to include the revenue costs that flow from capital finance decisions. This therefore, means that increases in capital expenditure must be limited to a level whereby increase in charges to revenue from:
- Increases in interest charges caused by increased borrowing to finance additional capital expenditure, and
  - Any increase in running costs from new capital projects are limited to a level which is affordable within the projected income of the Council for the foreseeable future.

#### **CIPFA requirements**

- 5.6 The CIPFA Code of Practice on Treasury Management (revised November 2009) was adopted by this Council on 10 October 2002. The primary requirements of the Code are as follows:

- (i) Creation and maintenance of a Treasury Management Policy Statement which sets out the policies and objectives of the Council's treasury

management activities.

- (ii) Creation and maintenance of the Treasury Management Practices which set out the manner in which the Council will seek to achieve those policies and objectives.
- (iii) Receipt by full Council of an annual Treasury Management Strategy and Minimum Revenue Provision Policy for the year ahead, a Mid-year Review Report and an Annual Report (stewardship report) covering activities during the previous year.
- (iv) 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.
- (v) Delegation by the Council of the role of scrutiny of treasury management strategy and policies to a specified named body. For this Council the delegated body is the Overview & Scrutiny Committee.

## **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 and the relevant requirements of the Local Government Act 2003.

## **7.0 CONSULTATION**

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

## **8.0 REPORT DETAILS**

- 8.1 The Prudential Code regulates the manner in which capital spending plans are to be considered and approved, and in conjunction with this, the development of an integrated Treasury Management Strategy. It requires the Council to set a number of Prudential Indicators, and these are to be considered when determining the Council's Treasury Management Strategy.
- 8.2 The Treasury Management Strategy Statement details the expected activities of the Treasury function in the forthcoming financial year (2011/12). Its production and submission to the Council is a requirement of the Code.
- 8.3 The Annual Investment Strategy will set out the Council's policies for the prudent management of its investments including the security and liquidity of those investments. It details the Specified and Non Specified Investment Instruments to be used by the Council in 2011/12. Approval is also sought for the specified use of credit ratings and the maximum periods for which funds may be prudently committed in each asset category.
- 8.4 The suggested strategies for 2011/12 are based upon advice from the Council's treasury advisors, Sector Treasury Services Limited (Sector).

### **TREASURY MANAGEMENT STRATEGY FOR 2011/12**

- 8.5 The suggested strategy for 2011/12 in respect of the following aspects of the treasury management function is based upon the treasury officers' views on interest rates,

supplemented with leading market forecasts provided by the Council's treasury adviser Sector Treasury Services. The strategy covers:

- Treasury limits in force which will limit the treasury risk and activities of the Council
- Current portfolio position
- The borrowing requirement
- Prudential and Treasury Indicators
- Prospects for interest rates
- The borrowing strategy
- Policy on borrowing in advance of need
- The Minimum Revenue Provision strategy
- The investment strategy
- Creditworthiness policy
- Policy on use of external service providers

#### **Treasury Limits for 2011/12 to 2013/14**

- 8.6 It is a statutory duty under Section 3 of the Act and supporting regulations, for the Council to determine and keep under review how much it can afford to borrow. The amount so determined is termed the "Affordable Borrowing Limit". In England and Wales the Authorised Limit represents the legislative limit specified in the Act.
- 8.7 The Council must have regard to the Prudential Code when setting the Authorised Limit, which essentially requires it to ensure that total capital investment remains within sustainable limits and, in particular, that the impact upon its future council tax levels is 'acceptable'.
- 8.8 Whilst termed an "Affordable Borrowing Limit", the capital plans to be considered for inclusion incorporate financing by both external borrowing and other forms of liability, such as credit arrangements. The Authorised Limit is to be set, on a rolling basis, for the forthcoming financial year and two successive financial years, details of the Authorised Limit can be found in Annex E of this report.

#### **Current Portfolio Position**

- 8.9 The Council's treasury portfolio position at 31 December 2010 comprised:

	£'000
Investments Internally Managed:	
Temporary investments	4,870
Fixed term deposits	5,000
Investments Externally Managed:	
Fixed term deposits	5,000
<b>Total Investments</b>	<b>14,870</b>

#### **Borrowing Requirement**

- 8.10 The funding of the proposed 4-year Capital Plan shows that borrowing will be required. The Council's borrowing requirement is expected to be as follows:

	2009/10 Actual £'000	2010/11 Probable £'000	2011/12 Estimate £'000	2012/13 Estimate £'000	2013/14 Estimate £'000
New Borrowing	0	0	910	1,160	0
Alternative financing arrangements	0	0	0	0	0

Replacement borrowing	0	0	0	0	0
Total borrowing requirement	0	0	910	1,160	0

### Prudential and Treasury Indicators for 2011/12 to 2013/14

- 8.11 Prudential and treasury indicators (as set out in Annex E to this report) are relevant for the purposes of setting an integrated treasury management strategy.
- 8.12 The Council is also required to indicate if it has adopted the CIPFA Code of Practice on Treasury Management. This original 2001 Code was adopted on 10 October 2002 and the revised Code was adopted by the Full Council on 22 February 2010.

### Prospects for Interest Rates

The Council has appointed Sector Treasury Services as treasury advisor to the Council and part of their service is to assist the Council to formulate a view on interest rates. Annex H draws together a number of current City forecasts for short term (Bank Rate) and longer fixed interest rates. The following table gives the Sector central view:

Sector Bank Rate forecast for financial year ends (March):

2011	0.50%
2012	1.00%
2013	2.25%
2014	3.25%

There is downside risk to these forecasts if recovery from the recession proves to be weaker and slower than currently expected.

### Borrowing Strategy – Borrowing Rates

- 8.13 The Sector forecast for the PWLB new borrowing rate is as follows:

	Mar-11	Jun-11	Sep-11	Dec-11	Mar-12	Mar-13	Mar-14
Bank rate	0.50%	0.50%	0.50%	0.75%	1.00%	2.25%	3.25%
5yr PW IB rate	3.30%	3.30%	3.40%	3.50%	3.60%	4.30%	5.00%
10yr PW IB rate	4.40%	4.40%	4.40%	4.50%	4.70%	5.10%	5.40%
25yr PW IB rate	5.20%	5.20%	5.20%	5.30%	5.30%	5.50%	5.70%
50yr PW IB rate	5.20%	5.20%	5.20%	5.30%	5.30%	5.50%	5.70%

The Council's borrowing strategy will give consideration to new borrowing in the following order of priority:

- (i) The cheapest borrowing will be internal borrowing by running down cash balances and foregoing interest earned at historically low rates. However, in view of the overall forecast for long term borrowing rates to increase over the next few years, consideration will also be given to weighing the short term advantage of internal borrowing against potential long term costs if the opportunity is missed for taking loans at long term rates which will be higher in future years.

- (ii) Temporary borrowing from the money markets or other local authorities
- (iii) PWLB variable rate loans for up to 10 years
- (iv) Short dated borrowing from non PWLB below sources
- (v) Long term fixed rate market loans at rates significantly below PWLB rates for the equivalent maturity period (where available) and to maintaining an appropriate balance between PWLB and market debt in the debt portfolio.
- (vi) PWLB borrowing for periods under 5 years where rates are expected to be significantly lower than rates for longer periods. This offers a range of options for new borrowings which will spread debt maturities away from a concentration in longer dated debt.

### **Borrowing Strategy – External v Internal Borrowing**

8.14 The table below shows a comparison of gross and net position at the year end:

	2009/10 Actual £'000	2010/11 Probable £'000	2011/12 Estimate £'000	2012/13 Estimate £'000	2013/14 Estimate £'000
Actual external borrowing (gross)	0	0	910	2,051	2,008
Cash balances	-10,724	-8,493	-4,550	-3,640	-3,435
Net borrowing	-10,724	-8,493	-3,640	-1,589	-1,427

The net position is a negative one, reflecting the fact that cash balances exceed the Council's planned borrowing for capital expenditure.

### **Policy on Borrowing in Advance of Need**

8.15 The Council will not borrow more than or in advance of its needs purely in order to profit from the investment of the extra sums borrowed. Any decision to borrow in advance will be considered carefully to ensure value for money can be demonstrated and that the Council can ensure the security of such funds. In determining whether borrowing will be undertaken in advance of need the Council will:

- Ensure the on-going revenue liabilities created, and the implications for the future plans and budgets have been considered
- Evaluate the economic and market factors that might influence the manner and timing of any decision to borrow
- Consider the merits and demerits of alternative forms of funding
- Consider the alternative interest rate bases available, the most appropriate periods to fund and repayment profiles to use.
- Consider the impact of borrowing in advance on temporarily (until required to finance capital expenditure) increasing investment cash balances and the consequent increase in exposure to counterparty risk, and other risks, and the level of such risks given the control in place to minimise them.

### **Minimum Revenue Provision (MRP) Policy**

8.16 The Minimum Revenue Provision is the method by which an Authority charges the cost of borrowing for the purchase of capital assets to its revenue account.

8.17 The Provision is determined under guidance though Statutory Instrument 2008 no. 414. The guidance requires the policy for the calculation of MRP to be approved by Full Council.

8.18 Previously there has been no requirement for this Council to make an annual MRP as the Council was debt free and had a nil Capital Financing Requirement at the end



of the previous financial year. However, the Council has a number of lease agreements that were initially entered into as operating leases but following the implementation of International Financial Reporting Standards (IFRS) is now reclassified as finance leases. As a consequence the Council will not have a nil Capital Finance Requirement in future and there will now be a need to have a MRP policy in place, which is shown in Annex B.

## **ANNUAL INVESTMENT STRATEGY**

### **Investment Policy**

8.19 The Council will have regard to the CLG's Guidance on Local Government Investments ("the Guidance") and the 2009 revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes ("the CIPFA TM Code"). The Council's investment priorities are:

- The security of capital and
- The liquidity of its investments

The Council will also aim to achieve the optimum return on its investments commensurate with proper levels of security and liquidity.

The borrowing of monies purely to invest or on-lend and make a return is unlawful and this Council will not engage in such activity.

Investment instruments identified for use in the financial year are listed in Annex F under the 'Specified' and 'Non-Specified' Investments categories. Counterparty limits will be as set through the Council's Treasury Management Practices schedules.

### **Creditworthiness Policy**

8.20 This Council uses the creditworthiness service provided by Sector Treasury Services. This service has been progressively enhanced over the last year and now uses a sophisticated modelling approach with credit ratings from all three rating agencies - Fitch, Moodys and Standard and Poors, forming the core element. However, it does not rely solely on the current credit ratings of counterparties but also uses the following as overlays:

- Credit watches and credit outlooks from credit rating agencies
- Credit Default Swaps (CDS) spreads to give early warning of likely changes in credit ratings
- Sovereign ratings to select counterparties from only the most creditworthy countries

8.21 This modelling approach combines credit ratings, credit watches, credit outlooks and CDS spreads in a weighted scoring system which is then combined with an overlay of CDS spreads for which the end product is a series of colour code bands, which indicate the relative creditworthiness of counterparties. These colour codes are also used by the Council to determine the duration for investments and are therefore referred to as durational bands. The Council is satisfied that this service now gives a much improved level of security for its investments. It is also a service that the Council would not be able to replicate using in house resources.

8.22 The selection of counterparties with a high level of creditworthiness will be achieved by selection of institutions down to a minimum durational band within Sector's weekly

credit list of worldwide potential counterparties. The Council will therefore use counterparties within the following durational bands:

- Yellow 5 years \*
- Purple 2 years
- Blue 1 year (only applies to nationalised or semi nationalised UK Banks)
- Orange 1 year
- Red 6 months
- Green 3 months
- No colour not to be used

\* This category has been added for AAA rated Government debt or its equivalent.

- 8.23 This Council will not use the approach suggested by CIPFA of using the lowest rating from all three rating agencies to determine creditworthy counterparties as Moody's tend to be more aggressive in giving low ratings than the other two agencies. This would therefore be unworkable and leave the Council with few banks on its approved lending list. The Sector creditworthiness service does though, use ratings from all three agencies, but by using a scoring system, does not give undue preponderance to just one agency's ratings.
- 8.24 On-going monitoring of all credit ratings is undertaken. The Council is alerted to changes to ratings of all three agencies through its use of the Sector creditworthiness service. If a downgrade results in the counterparty/investment scheme no longer meeting the Council's minimum criteria, its further use as a new investment will be withdrawn immediately. In addition to the use of Credit Ratings the Council will be advised of information in movements in Credit Default Swap against the iTraxx benchmark and other market data on a weekly basis. Extreme market movements may result in downgrade of an institution or removal from the Council's lending list.
- 8.25 Sole reliance will not be placed on the use of this external service. In addition this Council will also use market data and market information, information on government support for banks and the credit ratings of that government support.

#### **Country Limits**

- 8.26 The Council has determined that it will only use approved counterparties from countries with a minimum sovereign credit rating of AA- from Fitch Ratings (or equivalent from other agencies if Fitch does not provide) The list of countries that qualify using this credit criteria as at the date of this report are shown in Annex G. This list will be added to or deducted from by officers should ratings change in accordance with this policy.

#### **Investment Strategy to be followed In-house**

- 8.27 The Council's in-house managed funds are split between cash flow derived balances and £1.0m of core investments available for lending over a 1-2 year period. Investments will accordingly be made with reference to the core balance and cash flow requirements and the outlook for short-term interest rates (i.e. rates for investments up to 12 months).
- 8.28 In the current economic climate it is considered appropriate to keep investments short-term and invest only with highly credit rated financial institutions. The liquidity of the Council's assets is an important consideration in view of the significant capital investment planned in the capital programme.

- 8.29 From time to time the fixed rate investments may span financial years. Currently the Council has 1 investment totalling £1.5m on deposit, which will mature on 12 April 2011.

#### **External Cash Fund Management**

- 8.30 Tradition (UK) Limited (Tradition) is a cash manager, appointed to manage, on a discretionary basis, a proportion of the Council's investment portfolio.
- 8.31 Currently £5m of the Council's funds is externally managed by Tradition, with 3 investments totalling £4.0m spanning financial years, which will mature between the 4 May 2011 and 11 October 2011.
- 8.32 The funding of the capital programme will significantly reduce the availability of balances for investment and as a consequence notice has been given to Tradition to cease the arrangement with effect from 30 June 2011. All investments after that date will be administered in-house.

#### **End of Year Investment Report**

- 8.33 At the end of the financial year, the Council will report on its investment activity as part of its Annual Treasury Report.

#### **Policy on use of external service providers**

- 8.34 The Council uses Sector Treasury Services as its external treasury management advisers. However, the Council recognises that responsibility for treasury management decisions remains with the organisation at all times and will ensure that undue reliance is not placed upon our external service providers.
- 8.35 It also recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources. The Council will ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review.

#### **Scheme of delegation**

- 8.36 Please see Annex C.

#### **Role of the section 151 officer**

- 8.37 Please see Annex D.

### **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.
  - b) Legal  
There are no legal implications regarding this report.
  - c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)  
None to report.

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

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**Background Papers:**

None.

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

None.

## TREASURY MANAGEMENT STATEMENT AND INVESTMENT STRATEGY REPORT- RISK MATRIX – ANNEX A

Issue/Risk	Consequences if allowed to happen	Likelihood	Impact	Mitigation	Mitigated Likelihood	Mitigated Impact
Credit risk - associated with investing with financial institutions that do not meet the credit rating criteria.	Could mean loss of principal sum and interest accrued.	<b>2</b>	<b>D</b>	In response to the economic climate the Council have adopted a more stringent credit rating methodology. The adoption of the revised Code has also mitigated the risk of security on lending.	<b>1</b>	<b>D</b>
Market risk - Selection of wrong type of investment for higher return.	The poor performance of the chosen investment.	<b>3</b>	<b>B</b>	The number of investment options was reduced in the Investment Strategy for this year and it is proposed that this will continue.	<b>3</b>	<b>B</b>
Liquidity risk - Use of fixed term deposits and / or instruments / investments with low marketability may mean a lack of liquidity	Unable to take advantage of better investment options. Funds are unavailable to cover capital spend.	<b>2</b>	<b>B</b>	The maturity profile has shortened for investments. The 2010/11 Investment Strategy reduced the period for non- specified investments and it is proposed to continue with this policy.	<b>1</b>	<b>B</b>

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

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### MINIMUM REVENUE PROVISION POLICY STATEMENT

The Council will assess the MRP for 2011/12 in accordance with the main recommendations contained within the guidance issued by the Secretary of State under section 21 (1A) OF The Local Government Act 2003.

Certain expenditure reflected within the debt liability at 31 March 2010 will under delegated powers be subject to MRP under option 3 of the guidance; this relates to the acquisition through finance lease of refuse and recycling vehicles and will be charged over a period which is commensurate with the life of the lease, using the annuity method.

Estimated life periods will be determined under delegated powers. To the extent that expenditure is not on the creation of an asset and is of a type that is subject to estimated life periods that are referred to in the guidance, these periods will generally be adopted by the Council. However, the Council reserves the right to determine useful life periods and prudent MRP in exceptional circumstances where the recommendations of the guidance would not be appropriate.

As some types of capital expenditure incurred by the Council are not capable of being related to an individual asset, asset lives will be assessed on a basis which most reasonably reflects the anticipated period of benefit that arises from the expenditure. Also, whatever type of expenditure is involved, it will be grouped together in a manner which reflects the nature of the main component of expenditure and will be divided up in cases where there are two or more major components with substantially different useful economic lives.

## TREASURY MANAGEMENT SCHEME OF DELEGATION

### 1. Full Council

- receiving and reviewing reports on treasury management policies, practices and activities
- approval of annual strategy.

### 2. Policy and Resources Committee

- approval of/amendments to the organisation's adopted clauses, treasury management policy statement and treasury management practices
- budget consideration and approval
- approval of the division of responsibilities
- receiving and reviewing regular monitoring reports and acting on recommendations
- approving the selection of external service providers and agreeing terms of appointment (where outside the scheme of delegation)

### 3. Overview and Scrutiny Committee

- reviewing the treasury management policy and procedures and making recommendations to the responsible body.



## THE TREASURY MANAGEMENT ROLE OF THE SECTION 151 OFFICER

### **The S151 (responsible) officer**

- recommending clauses, treasury management policy/practices for approval, reviewing the same regularly, and monitoring compliance
- submitting regular treasury management policy reports
- submitting budgets and budget variations
- receiving and reviewing management information reports
- reviewing the performance of the treasury management function
- ensuring the adequacy of treasury management resources and skills, and the effective division of responsibilities within the treasury management function
- ensuring the adequacy of internal audit, and liaising with external audit
- recommending the appointment of external service providers

## PRUDENTIAL AND TREASURY INDICATORS

## Prudential Indicators

	2009/10	2010/11	2011/12	2012/13	2013/14
Extract from budget setting report	Actual	Probable Outturn	Estimate	Estimate	Estimate
<b>Total Capital Expenditure</b>	<b>£1.589m</b>	<b>£4.882m</b>	<b>£5.802m</b>	<b>£2.425m</b>	<b>£0.680m</b>
<b>Ratio of financing costs to net revenue stream</b>	<b>-1.12%</b>	<b>1.03%</b>	<b>1.11%</b>	<b>1.58%</b>	<b>0.72%</b>
<b>Net borrowing requirement</b>	<b>-£10.724m</b>	<b>-£8.493m</b>	<b>-£3.640m</b>	<b>-£1.589m</b>	<b>-£1.427m</b>
<b>Capital Financing Requirement as at 31 March</b>	<b>£0.556m</b>	<b>£0.639m</b>	<b>£1.383m</b>	<b>£2.346m</b>	<b>£2.138m</b>
<b>Annual change in Capital Financing Requirement</b>	<b>£0.135m</b>	<b>£0.083m</b>	<b>£0.744m</b>	<b>£0.963m</b>	<b>-£0.208m</b>
<b>Incremental impact of capital investment decisions</b> Increase in council tax (band D) per annum	N/a	N/a	<b>£6.99</b>	<b>£10.85</b>	<b>£12.76</b>

The indicators have been adjusted to meet the requirements of International Financial Reporting Standard (IFRS) accounting and allow for the reclassification of some of the Council's operating leases to finance leases.

## Treasury Management Indicators

	2009/10	2010/11	2011/12	2012/13	2013/14
	Actual	Probable Outturn	Estimate	Estimate	Estimate
<b>Authorised Limit for external debt -</b>					
borrowing	N/a	£20m	£20m	£20m	£20m
other long term liabilities	N/a	£0m	£0m	£0m	£0m
Total	N/a	£20m	£20m	£20m	£20m
<b>Operational Boundary for external</b>					
<b>debt -</b>					
borrowing	N/a	£5m	£5m	£5m	£5m
other long term liabilities	N/a	£0m	£0m	£0m	£0m
Total	N/a	£5m	£5m	£5m	£5m
<b>External debt</b>	£0.556m	0.639m	£1.383m	£2.346m	£2.138m
<b>Upper limit for fixed interest rate</b>					
<b>exposure</b>					
Net principal re fixed rate borrowing / investments	N/a	N/a	100%	100%	100%
<b>Upper limit for variable rate</b>					
<b>exposure</b>					
Net principal re variable rate borrowing / investments	N/a	N/a	20%	50%	50%
<b>Upper limit for total principal sums</b>					
<b>invested for over 364 days</b>					
(per maturity date)	N/a	N/a	£1.0m	£1.0m	£1.0m

## SPECIFIED AND NON-SPECIFIED INVESTMENTS

## SPECIFIED INVESTMENTS:

All such investments will be sterling denominated, with **maturities up to maximum of 1 year**, meeting the minimum 'high' rating criteria where applicable.

Investment	Minimum 'High' Credit Criteria	Use
Debt Management Agency Deposit Facility	Sovereign rating	In-house
Term deposits – local authorities	--	In-house
Term deposits – banks and building societies	Per Sector Weekly Credit List	In-house
Money Market Funds	AAA	In-house
Banks nationalised by high credit rated (sovereign rating) countries	Per Sector Weekly Credit List	In-house
Government guarantee on ALL deposits by high credit rated (sovereign rating) countries*	Per Sector Weekly Credit List	In-house
UK Government support to the banking sector (implicit guarantee) **	Sovereign rating per Sector Weekly Credit List	In-house

\* See Annex G

\*\*The original list of banks covered when the support package was initially announced was:

- Abbey (now part of Santander)
- Barclays
- HBOS (now part of the Lloyds Group)
- Lloyds TSB
- HSBC
- Nationwide Building Society
- RBS
- Standard Chartered

Banks eligible for support under the UK bail-out package and which have issued debt guaranteed by the Government are eligible for a continuing Government guarantee when debt issues originally issued and guaranteed by the Government mature and are refinanced. However, no other institutions can make use of this support as it closed to new issues and entrants on 28.02.10. The financial institutions which have used this explicit guarantee are as follows:

- Bank of Scotland
- Barclays
- Clydesdale
- Coventry Building Society
- Investec
- Nationwide Building Society
- Rothschild Continuation Finance plc
- Standard Life Bank
- Tesco Personal Finance plc
- Royal Bank of Scotland
- West Bromwich Building Society
- Yorkshire Building Society

## NON-SPECIFIED INVESTMENTS

A maximum of £1.0m will be held in aggregate in non-specified investment

### 1. Maturities of ANY period

Investment	Minimum Credit Criteria	Use	Maximum Investment	Maximum maturity period
Fixed term deposits with variable rate and variable maturities:				
Structured deposits	Per Sector Weekly Credit List	In-house	£1.0m	2 Years
Commercial paper issuance by UK banks covered by UK Government guarantee	UK Government explicit guarantee	In-house	£1.0m	2 Years
Other debt issuance by UK banks covered by UK Government guarantee	UK Government explicit guarantee	In-house	£1.0m	2 Years

### 2. Maturities in excess of 1 year

Investment	Minimum Credit Criteria	Use	Maximum Investment	Maximum maturity period
Term deposits – local authorities	--	In-house	£1.0m	2 Years
Term deposits – banks and building societies	Per Sector Weekly Credit List	In-house	£1.0m	2 Years
Certificates of deposits issued by banks and building societies	Per Sector Weekly Credit List	In house	£1.0m	2 Years
UK Government Gilts	AAA	In-house	£1.0m	2 Years
Bonds issued by multilateral development banks	AAA	In-house	£1.0m	2 Years
Bonds issued by a financial institution which is explicitly guaranteed by the UK government	AAA	In-house	£1.0m	2 Years

**APPROVED COUNTRIES FOR INVESTMENT**

**AAA Rating**

- Canada
- Denmark
- Finland
- France
- Germany
- Luxembourg
- Netherlands
- Norway
- Singapore
- Sweden
- Switzerland
- U.K.
- U.S.A.

**AA+ Rating**

- Australia
- Belgium
- Hong Kong

**AA Rating**

- Japan
- Kuwait
- Qatar (AA S&P rating)
- UAE

**AA- Rating**

- Italy
- Saudi Arabia

\* Sector has suggested that clients exercise care and caution when considering placing deposits with Irish and Portuguese banks as their economies and banking systems are currently under severe pressure.

## INTEREST RATE FORECASTS

The data below shows a variety of forecasts published by a number of institutions. The first three are individual forecasts including those of UBS and Capital Economics (an independent forecasting consultancy). The final one represents summarised figures drawn from the population of all major City banks and academic institutions.

The forecast within this strategy statement has been drawn from these diverse sources and officers' own views.

### 1. INDIVIDUAL FORECASTS

#### Sector interest rate forecast – 6.01.11

	Mar-11	Jun-11	Sep-11	Dec-11	Mar-12	Jun-12	Sep-12	Dec-12	Mar-13	Jun-13	Sep-13	Dec-13	Mar-14
Bank rate	0.50%	0.50%	0.50%	0.75%	1.00%	1.25%	1.50%	1.75%	2.25%	2.75%	3.00%	3.25%	3.25%
3 month LIBID	0.60%	0.70%	0.80%	1.00%	1.25%	1.50%	1.75%	2.00%	2.50%	3.00%	3.25%	3.50%	3.50%
6 month LIBID	0.90%	1.00%	1.10%	1.20%	1.50%	1.80%	2.10%	2.40%	2.80%	3.20%	3.50%	3.80%	4.00%
12 month LIBID	1.40%	1.50%	1.60%	1.80%	2.10%	2.40%	2.70%	3.00%	3.20%	3.40%	3.65%	4.00%	4.20%
5yr PWLB rate	3.30%	3.30%	3.40%	3.50%	3.60%	3.80%	3.90%	4.10%	4.30%	4.60%	4.80%	4.90%	5.00%
10yr PWLB rate	4.40%	4.40%	4.40%	4.50%	4.70%	4.80%	4.90%	5.00%	5.10%	5.20%	5.30%	5.40%	5.40%
25yr PWLB rate	5.20%	5.20%	5.20%	5.30%	5.30%	5.40%	5.40%	5.40%	5.50%	5.50%	5.60%	5.70%	5.70%
50yr PWLB rate	5.20%	5.20%	5.20%	5.30%	5.30%	5.40%	5.40%	5.40%	5.50%	5.50%	5.60%	5.70%	5.70%

#### Capital Economics interest rate forecast – 12.1.11

	Mar-11	Jun-11	Sep-11	Dec-11	Mar-12	Jun-12	Sep-12	Dec-12	Mar-13	Jun-13	Sep-13	Dec-13
Bank Rate	0.50%	0.50%	0.50%	0.50%	0.50%	0.50%	0.50%	0.50%	0.75%	1.00%	1.50%	2.00%
5yr PWLB rate	3.20%	3.20%	3.00%	2.75%	2.75%	2.90%	3.00%	3.20%	3.40%	3.60%	3.90%	4.20%
10yr PWLB rate	4.75%	4.75%	4.25%	3.75%	3.75%	3.75%	3.75%	3.75%	3.90%	4.00%	4.30%	4.60%
25yr PWLB rate	5.25%	5.25%	4.85%	4.65%	4.65%	4.65%	4.65%	4.65%	4.75%	4.85%	5.10%	5.30%
50yr PWLB rate	5.30%	5.30%	5.20%	5.00%	5.00%	5.00%	5.00%	5.00%	5.00%	5.10%	5.20%	5.30%

**UBS interest rate forecast (for quarter ends) – 06.01.11**

	Mar-11	Jun-11	Sep-11	Dec-11	Mar-12	Jun-12	Sep-12	Dec-12
<b>Bank rate</b>	0.50%	0.50%	0.75%	1.00%	1.25%	1.50%	1.75%	2.00%
<b>10yr PWLB rate</b>	4.30%	4.40%	4.50%	4.60%	4.70%	4.80%	4.90%	5.00%
<b>25yr PWLB rate</b>	5.25%	5.30%	5.35%	5.40%	5.45%	5.50%	5.55%	5.60%
<b>50yr PWLB rate</b>	5.35%	5.40%	5.45%	5.50%	5.55%	5.60%	5.65%	5.70%

**2. SURVEY OF ECONOMIC FORECASTS**

**HM Treasury January 2011**

The current Q4 2011 forecasts are based on the January 2011 report. Forecasts for 2011-2014 are based on 32 forecasts in the last quarterly forecast - in November 2010.

<b>BANK RATE FORECASTS</b>	<b>quarter ended</b>			<b>annual average Bank Rate</b>			
	<b>actual</b>	<b>Q4 2011</b>		<b>ave. 2011</b>	<b>ave. 2012</b>	<b>ave. 2013</b>	<b>ave. 2014</b>
<b>Median</b>	0.50%	2.00%		0.90%	1.60%	2.40%	3.00%
<b>Highest</b>	0.50%	0.50%		2.10%	3.10%	3.60%	4.50%
<b>Lowest</b>	0.50%	0.80%		0.50%	0.50%	0.60%	1.20%





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<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>17 FEBRUARY 2011</b>
<b>REPORT OF THE:</b>	<b>CORPORATE DIRECTOR (s151) PAUL CRESSWELL</b>
<b>TITLE OF REPORT:</b>	<b>ANNUAL GOVERNANCE STATEMENT ACTION PLAN</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

1.1 This is a report to committee to inform members on progress with the actions identified in the 2009-10 AGS action plan.

### **2.0 RECOMMENDATION**

2.1 It is recommended that the progress with identified actions in the 2009-10 AGS action plan be noted.

### **3.0 REASON FOR RECOMMENDATION**

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

### **4.0 SIGNIFICANT RISKS**

4.1 There are no significant risks.

## **REPORT**

### **5.0 BACKGROUND AND INTRODUCTION**

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

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

5.3 The Council has adopted the CIPFA framework for producing the AGS. Part of this

framework is for the Council's Audit Committee to consider the content of the AGS including any action plans to address identified 'significant' internal control issues.

5.4 It is for Members to review the progress of implementation of the actions identified in the Action Plan of the 2009/10 Annual Governance Statement (AGS).

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

## **6.0 POLICY CONTEXT**

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

## **7.0 CONSULTATION**

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

## **8.0 REPORT DETAILS**

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

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

8.3 There is also a need to identify and resolve weaknesses by the production of an action plan. This report presents a review of the implementation of actions proposed in the Action Plan associated with the 2009/10 AGS.

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

8.5 The AGS for 2010/11 will be reported to the committee in June will complete the reviews of this action plan as they will be incorporated into the action plan for the 2010/11 AGS.

## **9.0 IMPLICATIONS**

9.1 The following implications have been identified:

a) Financial  
None

b) Legal  
None

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

## 10.0 NEXT STEPS

- 10.1 The AGS Action Plan is a document that should be reviewed periodically during the year. A final review will be done when the AGS for 2010/11 is being drafted, and all the current items identified and monitored will be brought forward into the new AGS.

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

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**Background Papers:**  
None

**Background Papers are available for inspection at:**  
Location or web address

**ANNUAL GOVERNANCE STATEMENT 2009/10**  
**ACTION PLAN for implementation in 2010/11**

STATUS	CONTROL ISSUE	ACTION PROPOSED	RESPONSIBILITY	TARGET DATE	CURRENT POSITION & COMMENTS
<p>Brought Forward From 2007/2008 Action Plan</p> <p>Page 34</p>	<p><u>Asset Management</u>  The Audit Commission KIoE for UoR Action Plan 2008 notes that the Council' approach to Asset Management did not reach level 3 assessment. (Level 3 requires that the council maintains an effective asset register.).</p>	<p>That the software bought to assist with asset management be installed and commissioned as a priority.</p>	<p>Corporate Director (s151)  [Head of Resources]</p>	<p>Fully functional by 31/12/09</p>	<p>Progress is being made towards populating the estates management system.  Oct 2009 ~ the locally designed spreadsheet to manage assets is said to be operational.  The estates management software (a module of Uniform) has not been populated, and the date for that to be complete is suggested to be 30/6/2010.  Feb 2010 ~ work continues to achieve this target date.  June 2010 ~Due to extreme difficulties populating Uniform this format has not been used to store property management information. A bespoke spreadsheet has been developed internally in liaison with Internal Audit and information is currently being installed. The completion date has been put back to 30 September.  October 2010 ~ Completed. The active Asset Register was finalised in conjunction with</p>

STATUS	CONTROL ISSUE	ACTION PROPOSED	RESPONSIBILITY	TARGET DATE	CURRENT POSITION & COMMENTS
					<p>Finance for this year's audit and a report was submitted for use by the auditors. Follow up internal audit review planned for later in year.</p>
<p>Brought Forward From 2008/09</p>	<p>The role and responsibilities of member champions are not established within the Council</p>	<p>Review to be undertaken setting out necessary information for member champions and officer leads.</p>	<p>Head of Transformation</p>	<p>To be completed by 30/9/2009</p>	<p>Oct 2009 ~ Generic Job Descriptions in place. Following review by Heads of Service, the role of each member champion is being developed. These expect to be finalised by March 2010. Feb 2010 ~ work continues to achieve this target date. June 2010 ~ All lead officers now liaising regularly with their respective member champions as appropriate to the area being championed. New member champions appointed at full Council in May 2010. Job Description and list of Lead Officers to be circulated to all member champions. Lead officers making contact with their champions directly. Oct 2010 ~ Completed: Officer leads and Member Champions working constructively together and developing their roles in line with the requirements of the Member Champion JD contained in the Council's Constitution. Member Champions are continuing to</p>

STATUS	CONTROL ISSUE	ACTION PROPOSED	RESPONSIBILITY	TARGET DATE	CURRENT POSITION & COMMENTS
					add value to the work of the Council. Action Completed
Brought Forward From 2008/09	Corporate Business Continuity Plan (BCP) requires testing for resilience and further training may be required.	Use consultancy days from our insurers and specialist to ensure the plan is fit for purpose and appropriate staff have currency of knowledge.	Corporate Director (s151)	To be completed by 31/12/2009	Feb 2010 ~ Obtaining advice and assistance from NYCC to finalise and test BCP. June 2010 ~ NYCC supplied with Council current situation awaiting feedback. Oct 2010 ~ meeting with NYCC scheduled for 29/9/2010 Feb 2011~ Full days training for managers November 2010. Ongoing update to Business Impact Assessments for all services with facilitation by NYCC.
New 2009/2010	Risk of compromise and weaknesses in operational systems as a consequence of reduced staffing over forthcoming years through downsizing as Government funding cuts made.	<ul style="list-style-type: none"> <li>Where changes in staffing occur, that changes in operating arrangements are reviewed prior to reducing the controls.</li> <li>Internal audit are included in working groups reviewing operating systems and arrangements, including commissioning, partnership arrangements etc.</li> </ul>	Corporate Director (s151)	Continuing	Oct 2010 ~ Staffing reviews and service reviews considering the control environment and impact of individuals leaving the Council. Further staffing reductions expected over future years, continuing risk based internal audit reviews continuing. Feb 2011 ~ Changes in staffing in majority of cases embedded in operations work ongoing on others.
New 2009/2010	There are significant changes to IT systems supporting services planned over the forthcoming year and beyond.	<ul style="list-style-type: none"> <li>All projects are run using established project management methodology.</li> <li>Internal audit will be involved</li> </ul>	Corporate Director (s151) as Chair of ICT Programme Board.	Continuing	Oct 2010 ~ ICT Board continues to monitor and evaluate all proposals for new and upgraded systems with a

STATUS	CONTROL ISSUE	ACTION PROPOSED	RESPONSIBILITY	TARGET DATE	CURRENT POSITION & COMMENTS
	There is the risk that system controls will be compromised during this period.	in working groups as appropriate. <ul style="list-style-type: none"> <li>• System specifications ensure appropriate controls.</li> <li>•</li> </ul>			review of interdependencies and workloads. The Control Environment is subject to audit and assistance from external auditors sought where applicable and appropriate. Feb 2011 ~ IT Board continues to monitor and evaluate projects. Internal and External audit consulted where necessary.

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<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>17 FEBRUARY 2011</b>
<b>REPORT OF THE:</b>	<b>CORPORATE DIRECTOR (s151) PAUL CRESSWELL</b>
<b>TITLE OF REPORT:</b>	<b>INTERNAL AUDIT – Q3+ REPORT</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

- 1.1 This report presents the Quarter 3+ Internal Audit Report covering the period to 31 January 2011 from the North Yorkshire Audit Partnership.

### **2.0 RECOMMENDATION**

- 2.1 It is recommended that this 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 approval of, and 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 Appendix A. That report summarises the work done by Internal Audit in 2010/11 covering the year to 31 January 2011.

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 appendix 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)**

**Author:** James Ingham; Head of Partnership  
Alison Newham, Audit Manager, North Yorkshire Audit Partnership  
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[Alison.Newham@Ryedale.gov.uk](mailto:Alison.Newham@Ryedale.gov.uk)  
[Alison Newham@Scarborough.gov.uk](mailto:Alison.Newham@Scarborough.gov.uk)

**Background Papers:**  
None.

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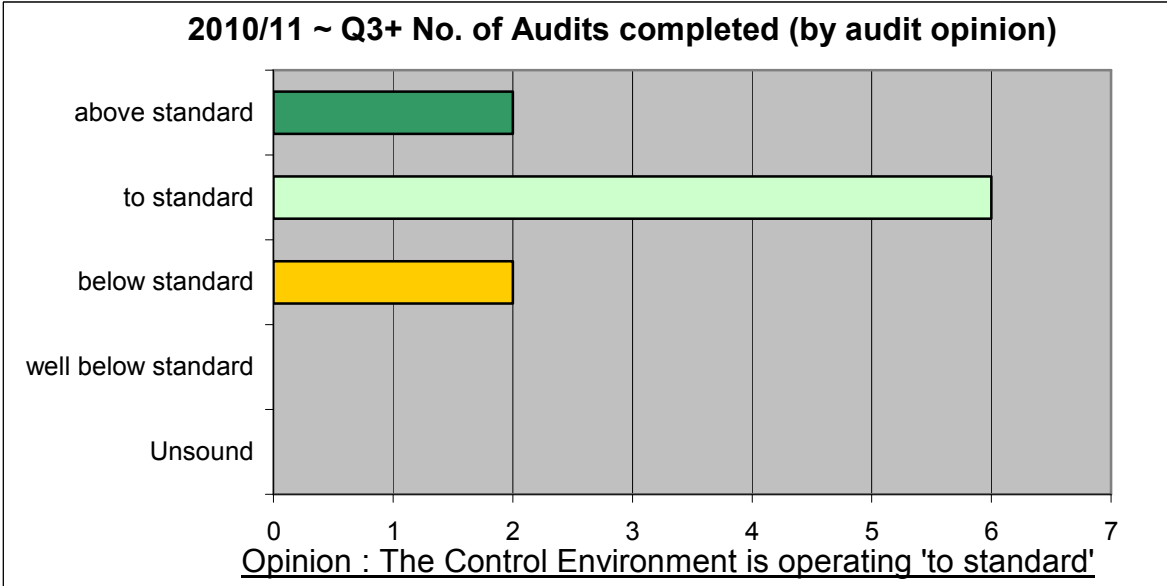


Independent Assurance

# Internal Audit 2010/11 Q3+ report



## Ryedale DC February 2011



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 one special investigation has been required to date, this work was carried out following instructions from management and the audit findings of one area. It is predominantly based around internet usage and has proceeded through the disciplinary process. No other investigations have been required which suggests that the present internal control framework is proving effective so far.
- 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 in 2011/2012 resulting in a 245 day audit plan 2011/12.
- 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 'to standard' 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: -
-  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 appointed a part time Health & Safety officer which now provides that function.*
  -  Controls surrounding Internal CCTV. *The audit has been completed and discussions continue to be held with the officers involved. Since we reported at the last Committee, significant improvements have been made and the new Policy and Procedures are awaiting final approval before all changes can be implemented.*
  -  The Taxi Licensing audit reported a number of significant control weaknesses. ~ *We are pleased 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&amp;S (Audit) Committee</u>
<u>2010/11 ~ Material Systems (External Audit definition)</u>		
Council Tax	<i>Complete - To Standard</i>	<i>Feb 2011</i>
Income System	<i>Complete - Above Standard</i>	<i>Feb 2011</i>
Creditors + e-procure/purchase cards	<i>In Progress - Extra Testing Q4</i>	
Debtors	<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>	
Payroll	<i>Planned Q4</i>	
Treasury Mgt	<i>Planned Q4</i>	
<u>2010/11 Audit plan work</u>		
Internal CCTV	<i>Complete (below standard)</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 to 'to standard' after immediate implementation of some recommendations.</i>	<i>Dec 2010</i>
Performance Indicators	<i>Complete (to standard)</i>	<i>Feb 2011</i>
Garages and Depots	<i>Complete (above standard)</i>	<i>Feb 2011</i>
Risk Management Action Plans	<i>Complete (to standard)</i>	<i>Feb 2011</i>
Concessionary Fares	<i>Complete (to standard)</i>	<i>Feb 2011</i>
Housing Strategy	<i>In Progress</i>	
Grants	<i>Planned Q4</i>	
Development Control	<i>Planned Q4</i>	
Community Safety	<i>Planned Q4</i>	

Summary of Key Issues arising from audits completed to 31<sup>st</sup> January 2011

<u>Audit &amp; Opinion</u>	<u>Key Issues</u>	<u>Recommendations</u>	<u>Status; – Follow up due: -</u>
<u>PI/Data</u>  <u>To Standard</u>  <u>(Draft)</u>	<p>Strengths</p> <ul style="list-style-type: none"> <li>◇ The Covalent system is effective and staff are trained to monitor the data regularly.</li> </ul> <p>Weaknesses</p> <ul style="list-style-type: none"> <li>◇ Whilst the Covalent system is effective - there were a number of weaknesses surrounding the sample of PI's.: -</li> <li>◇ Calculations could not always be verified (no evidence present)</li> <li>◇ Verification checks are not carried.</li> </ul>	<p>Recommendations</p> <ul style="list-style-type: none"> <li>◇ PI Figures should be uploaded onto Covalent. Previous figures should also be reviewed to ensure accuracy.]</li> <li>◇ Adequate evidence sheets should be retained to support collection and calculations.</li> </ul>	Regular PI monitoring will continue to take place throughout the year.
<u>Garages and Depots</u>  <u>Above Standard</u>	<p>Strengths</p> <ul style="list-style-type: none"> <li>◇ 28 recommendations were made at the previous audit of which almost all have been implemented with significant improvements noted. Particularly with regard to security.</li> </ul> <p>Weaknesses</p> <ul style="list-style-type: none"> <li>◇ Procedure documentation needs improvement.</li> </ul>	<p>Recommendations</p> <ul style="list-style-type: none"> <li>◇ Existing procedure documents should be assembled, additional ones re-written as required to address any gaps and a manual compiled to address all areas of administration.</li> </ul>	Audit next due 2013/14
<u>Risk Register Actions</u>  <u>To Standard</u>  <u>(Draft)</u>	<p>Strengths</p> <ul style="list-style-type: none"> <li>◇ The Risk Management process is established both at Corporate and Service level.</li> <li>◇ Training is readily available and the systems work effectively.</li> </ul> <p>Weaknesses</p> <ul style="list-style-type: none"> <li>◇ Significant Partnerships risk registers are not included, as</li> </ul>	<p>Recommendations</p> <ul style="list-style-type: none"> <li>◇ Encourage Partners to use Covalent and</li> </ul>	Regular monitoring will continue to take place throughout the year.

<u>Audit &amp; Opinion</u>	<u>Key Issues</u>	<u>Recommendations</u>	<u>Status: – Follow up due: -</u>
	detailed in the Risk Management Strategy.	upload their risk registers as part of ongoing assurance provision. <ul style="list-style-type: none"> <li>◇ The annual reporting of Partnership risk management needs to be included in the forward plan.</li> </ul>	
<u>Concessionary Fares</u>  <u>To Standard</u>  <u>(Draft)</u>	Strengths <ul style="list-style-type: none"> <li>◇ Overall, controls are working effectively.</li> </ul> Weaknesses <ul style="list-style-type: none"> <li>◇ Recording of data/information could be improved.</li> <li>◇ Certain income is coded into a suspense account and then transferred when a short code could be created.</li> </ul>	Recommendations <ul style="list-style-type: none"> <li>◇ The type of documents provided as proof should be recorded.</li> <li>◇ A miscellaneous income short code should be set up to enable cashiers to post payments for replacement passes directly to concessionary fares income.</li> </ul>	Transferring function to NYCC
<u>Income Systems</u>  <u>Above Standard</u>	Strengths <ul style="list-style-type: none"> <li>◇ Overall, controls are working effectively.</li> </ul> Weaknesses <ul style="list-style-type: none"> <li>◇ Spot checks and cash ups are not being carried out.</li> <li>◇ Cash “Overs &amp; unders” are not recorded correctly.</li> </ul>	Recommendations <ul style="list-style-type: none"> <li>◇ Spot checks should be carried out at least 3 times a year at the cash offices.</li> <li>◇ Cash “Overs and unders” should be recorded clearly in the cashiers book.</li> </ul>	Next audit due 2012/13
<u>Council Tax</u>  <u>To Standard</u>	Strengths <ul style="list-style-type: none"> <li>◇ The introduction of an interim Local Taxation Manager has brought about much improvement.</li> <li>◇ Policies and procedures are being re-written in line with legislative and system changes.</li> </ul> Weaknesses	Recommendations	Audit Due 2012/13

<u>Audit &amp; Opinion</u>	<u>Key Issues</u>	<u>Recommendations</u>	<u>Status: – Follow up due: -</u>
	<ul style="list-style-type: none"> <li>◇ Resource issues have resulted in inspections becoming infrequent and exempt or discounted properties are not being verified.</li> <li>◇ There was insufficient evidence to provide assurance that the input had been verified before payment runs.</li> <li>◇ No reconciliation between people, number of bills and number of bills posted.</li> </ul>	<ul style="list-style-type: none"> <li>◇ When the risk assessment of exemptions and discounts has been completed, a policy should be drawn up to clarify policing them.</li> <li>◇ Reconciliations should be carried out regularly and adequate documentation be placed on file to evidence that this has been done.</li> </ul>	

Summary of Key Issues arising from audits completed to 30<sup>th</sup> November 2010;

Previously reported to the Committee

<u>Audit &amp; Opinion</u>	<u>Key Issues</u>	<u>Recommendations</u>	<u>Status; – Follow up due: –</u>
<p><u>Internal CCTV</u></p> <p><u>DRAFT</u></p> <p><u>Below Standard</u></p>	<p>Strengths</p> <ul style="list-style-type: none"> <li>◇ Officers involved are quick to recognise weaknesses and are working closely with Internal Audit.</li> </ul> <p>Weaknesses</p> <ul style="list-style-type: none"> <li>◇ Policies or Procedures, possible breaches of DPA / HR/ and RIPA, no maintenance or procurement agreements. SLA with Police.</li> </ul>	<p>Recommendations</p> <ul style="list-style-type: none"> <li>◇ Several recommendations made which will be reported separately.</li> </ul>	<p>Follow up due 2011 Q1.</p> <p>Feb 2011: - <i>Constructive discussions have taken place with managers and there has been significant progress with the action plan.</i></p>
<p><u>Health and Safety</u></p> <p><u>Below Standard</u></p>	<p>Weaknesses</p> <ul style="list-style-type: none"> <li>◇ Ownership for Health and Safety issues.</li> <li>◇ Possible breaches.</li> </ul>	<p>Recommendations</p> <ul style="list-style-type: none"> <li>◇ A large number of recommendations have been made in order that risks are addressed swiftly.</li> </ul>	<p>Follow up due Q1 ~ 2011</p> <p>Feb 2011: - <i>A part time H&amp;S manager has now been appointed.</i></p>
<p><u>Officers Allowances</u></p> <p><u>To Standard</u></p>	<p>Strengths</p> <ul style="list-style-type: none"> <li>◇ All allowances tested were set in accordance with the Council Policy.</li> </ul> <p>Weaknesses</p> <ul style="list-style-type: none"> <li>◇ Details of vehicles/insurance details are not current.</li> <li>◇ Authorisation is not always sought before expenses are paid.</li> <li>◇ Officers are receiving an essential user allowance and are not claiming regular mileage.</li> </ul>	<p>Recommendations</p> <ul style="list-style-type: none"> <li>◇ Vehicle details should be brought up to date before mileage is paid.</li> <li>◇ Consideration should be given to carrying out a review of the posts which are entitled to essential user allowance.</li> </ul>	<p>Next audit due 2012/13</p>
<p><u>Taxi Licensing</u></p> <p><u>Below Standard</u></p> <p><u>lifted to "To Standard"</u></p>	<p>Strengths</p> <ul style="list-style-type: none"> <li>◇ Management are keen to address risks swiftly and introduce tighter controls.</li> </ul> <p>Weaknesses</p> <ul style="list-style-type: none"> <li>◇ Potential Breaches in</li> </ul>	<p>Recommendations</p> <ul style="list-style-type: none"> <li>◇ The database in use,</li> </ul>	<p>Next audit due 2012/13</p> <p>Feb 2011: - <i>Strong</i></p>

<u>Audit &amp; Opinion</u>	<u>Key Issues</u>	<u>Recommendations</u>	<u>Status: – Follow up due: -</u>
	<p>legislation.</p> <ul style="list-style-type: none"> <li>◇ Lack of controls surrounding the issuing of licence plates and ID badges.</li> <li>◇ Some weaknesses identified surrounding fees and income.</li> </ul>	<p>should act as the primary record and kept up to date</p> <ul style="list-style-type: none"> <li>◇ Consideration should be given to improving the licence renewal arrangements.</li> <li>◇ Income should be reconciled regularly.</li> </ul>	<p><i>progress with improving systems.</i></p>

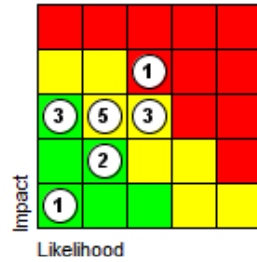
### Opinion Description

<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.

# Corporate Risk Register

## Corporate Risk Register


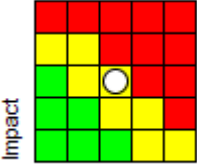

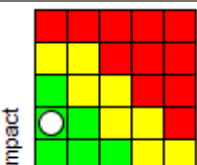
### Current Risk Heat Map



Page 53


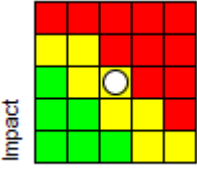


Status	Code	Title	Key										
	CRR 01	Significant Partnerships	<table border="1"> <thead> <tr> <th colspan="2">Risk Status</th> </tr> </thead> <tbody> <tr> <td></td> <td>OK</td> </tr> <tr> <td></td> <td>Warning</td> </tr> <tr> <td></td> <td>Alert</td> </tr> <tr> <td></td> <td>Unknown</td> </tr> </tbody> </table>	Risk Status			OK		Warning		Alert		Unknown
Risk Status													
	OK												
	Warning												
	Alert												
	Unknown												
	CRR 02	Capital Programme											
	CRR 03	Staff Management											
	CRR 04	External Funding											
	CRR 05	Affordable Housing											
	CRR 06	Procurement											
	CRR 07	Health and Safety											
	CRR 08	Business Continuity Planning											
	CRR 09	Governance Arrangements											
	CRR 10	Major Incident risk Flooding											
	CRR 11	Council Assets											
	CRR 12	Customer Expectations											
	CRR 13	Fraud and Corruption											
	CRR 14	Data Quality											
	CRR 15	Delivering Efficiencies											

**CRR 01 Significant Partnerships**


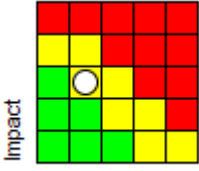
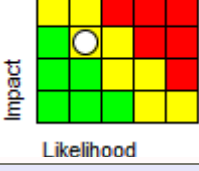
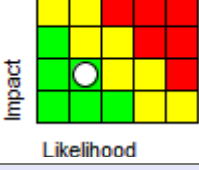
Risk Code	Risk Title	Description	Status					
CRR 01	Significant Partnerships	That the Council fails to manage its partnerships effectively						
<b>Consequences</b>		Financial cost to the Council through partnership failure, breach of legislation by partnership with consequences for Council and its reputation, levels of service satisfaction and quality fall below acceptable levels.						
<b>Original Matrix</b>		<b>Original Rating Description</b>						
		<b>Original Impact</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="1128 440 1464 480" style="text-align: center;">C</td> <td data-bbox="1464 440 1778 480" rowspan="2" style="text-align: center;"><b>Original Likelihood</b></td> <td data-bbox="1778 440 2130 480" style="text-align: center;">3</td> </tr> <tr> <td data-bbox="1128 480 1464 651" style="text-align: center;">Medium</td> <td data-bbox="1778 480 2130 651" style="text-align: center;">Likely</td> </tr> </table>	C	<b>Original Likelihood</b>	3	Medium	Likely
C	<b>Original Likelihood</b>	3						
Medium		Likely						
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>						
		<b>Current Impact</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="1128 691 1464 730" style="text-align: center;">C</td> <td data-bbox="1464 691 1778 730" rowspan="2" style="text-align: center;"><b>Current Likelihood</b></td> <td data-bbox="1778 691 2130 730" style="text-align: center;">1</td> </tr> <tr> <td data-bbox="1128 730 1464 901" style="text-align: center;">Medium</td> <td data-bbox="1778 730 2130 901" style="text-align: center;">Very Low</td> </tr> </table>	C	<b>Current Likelihood</b>	1	Medium	Very Low
C	<b>Current Likelihood</b>	1						
Medium		Very Low						
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>						
		<b>Target Impact</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="1128 941 1464 981" style="text-align: center;">B</td> <td data-bbox="1464 941 1778 981" rowspan="2" style="text-align: center;"><b>Target Likelihood</b></td> <td data-bbox="1778 941 2130 981" style="text-align: center;">1</td> </tr> <tr> <td data-bbox="1128 981 1464 1152" style="text-align: center;">Minor</td> <td data-bbox="1778 981 2130 1152" style="text-align: center;">Very Low</td> </tr> </table>	B	<b>Target Likelihood</b>	1	Minor	Very Low
B	<b>Target Likelihood</b>	1						
Minor		Very Low						
<b>Latest Progress</b>			<b>SMT Lead</b>					
01 Feb 2011 All partnerships identified as significant being managed by Management Team in line with the Councils Partnership Protocol. Tourism Commissioning Project reviewing exit strategy for the Council following reduction in external funding. This partnership will cease operations on 31 March 2011.			<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="1778 1201 1883 1295" style="text-align: center;"><b>Last Review Date</b></td> <td data-bbox="1883 1201 2130 1295" style="text-align: center;"><b>SMT Lead</b></td> </tr> <tr> <td data-bbox="1778 1201 1883 1295" style="text-align: center;">24 Sep 2011</td> <td data-bbox="1883 1201 2130 1295" style="text-align: center;">Clare Slater</td> </tr> </table>	<b>Last Review Date</b>	<b>SMT Lead</b>	24 Sep 2011	Clare Slater	
<b>Last Review Date</b>	<b>SMT Lead</b>							
24 Sep 2011	Clare Slater							








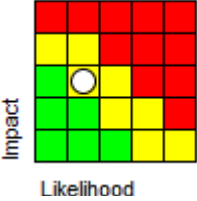
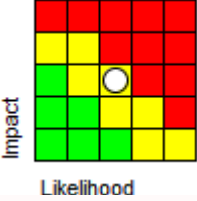
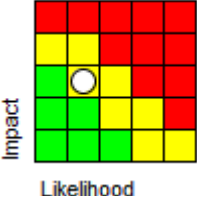
CRR 02 Capital Programme


Risk Code	Risk Title	Description	Status	
CRR 02	Capital Programme	Failure to deliver capital programme for Council priorities, on budget and on time.		
<b>Consequences</b>		Failure to deliver the Council priorities		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		<b>Original Impact</b>	C	3
			Medium	<b>Original Likelihood</b>
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		<b>Current Impact</b>	C	1
			Medium	<b>Current Likelihood</b>
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		<b>Target Impact</b>	C	1
			Medium	<b>Target Likelihood</b>
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>
01 Feb 2011 Progress monitoring embedded in the work of Resources Working Party, who receive bi-monthly reports with highlight reporting on individual projects.			24 Sep 2011	Trevor Anderson


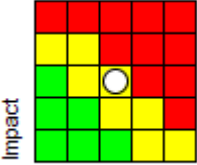
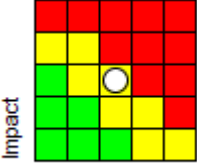

CRR 03 Staff Management

Risk Code	Risk Title	Description			Status
CRR 03	Staff Management	Failure to effectively manage and develop our workforce assets			
<b>Consequences</b>		Decline in employee performance and delivery			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	<b>Original Likelihood</b>	2
		Medium	<b>Original Likelihood</b>	Not Likely	
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	<b>Current Likelihood</b>	2
		Medium	<b>Current Likelihood</b>	Not Likely	
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	<b>Target Likelihood</b>	2
		Minor	<b>Target Likelihood</b>	Not Likely	
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
01 Feb 2011 HR Policies and Procedures reviewed in line with One 11 programme. Workforce Plan completed Leadership Development programme delivered				29 Sep 2011	Louise Sandall



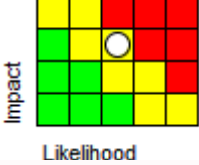
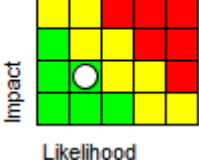
CRR 04 External Funding				
Risk Code	Risk Title	Description	Status	
CRR 04	External Funding	Failure to attract external funding to support the priorities of the Council and failure to manage that funding we do attract.		
<b>Consequences</b>		Failure to deliver Council priorities requiring major financial investment. Increased costs to RDC. Failure to regenerate the local economy. Uncompetitive service delivery. Withdrawal or failure of a service. Inability to deliver new services		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		Original Impact	C	3
			Medium	Original Likelihood
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		Current Impact	D	3
			Major	Current Likelihood
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		Target Impact	C	2
			Medium	Target Likelihood
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>
24 Sep 2010 Uncertainty in relation to withdrawal of regional funding agencies and cessation of funding streams			24 Sep 2011	Trevor Anderson

CRR 05 Affordable Housing			
Risk Code	Risk Title	Description	Status
CRR 05	Affordable Housing	Housing need in Ryedale which can be met through the provision of affordable housing is not met.	
<b>Consequences</b>		Homelessness increases with resultant service costs. Unbalanced housing market. Negative impact on the local economy. Lack of key workers to support the needs of the community	
<b>Original Matrix</b>		<b>Original Rating Description</b>	
		<b>Original Impact</b> C Medium <b>Original Likelihood</b> 2 Not Likely	
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>	
		<b>Current Impact</b> C Medium <b>Current Likelihood</b> 3 Likely	
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>	
		<b>Target Impact</b> C Medium <b>Target Likelihood</b> 2 Not Likely	
<b>Latest Progress</b>		<b>Last Review Date</b>	<b>SMT Lead</b>
01 Feb 2011 A range of Housing Initiatives have recently been agreed by the Commissioning Board to support the delivery of affordable housing in Ryedale including: partnership arrangements to continue the Rural Housing Enabler activity in Ryedale beyond September 2011; • the appointment of a new Housing Development Officer to maximise delivery of affordable housing in Ryedale; • investigations into a new build facility to provide supported accommodation for homeless younger people in Ryedale; • the extension of the Ryedale Mortgage Rescue Scheme to 2013.		24 Sep 2011	Gary Housden; Julian Rudd


Risk Code	Risk Title	Description			Status
CRR 06	Procurement				
<b>Consequences</b>		Failure to make efficiency savings. Priority projects not delivered to budget. Government penalties. Breach of legislation e.g. equalities or health and safety. Damage to RDC reputation.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	D	<b>Original Likelihood</b>	3
			Major		Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	<b>Current Likelihood</b>	2
			Medium		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	C	<b>Target Likelihood</b>	2
			Medium		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
01 Feb 2011 Partnership arrangements for specialist support working well. Procurement Strategy revised and web pages updated.				24 Sep 2011	Phil Long

CRR 07 Health and Safety				
Risk Code	Risk Title	Description	Status	
CRR 07	Health and Safety	Failure to ensure appropriate systems are in place to manage Health and safety		
<b>Consequences</b>		Failure to meet legislative requirements, prosecution and financial penalties incurred as a result of incident.		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		<b>Original Impact</b> Medium		<b>Original Likelihood</b> Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		<b>Current Impact</b> Medium		<b>Current Likelihood</b> Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		<b>Target Impact</b> Minor		<b>Target Likelihood</b> Not Likely
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>
01 Feb 2011 Member and officer training undertaken. Health and Safety policy framework in place. Ownership across the organisation, roles and responsibilities clarified at all levels of management			24 Sep 2011	Phil Long

**CRR 08 Business Continuity Planning**


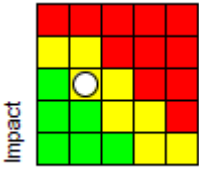
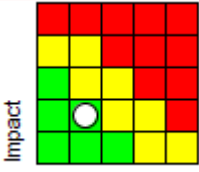
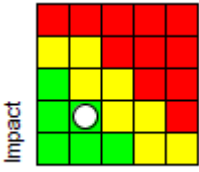
Risk Code	Risk Title	Description			Status
CRR 08	Business Continuity Planning	Failure to produce effective, comprehensive and tested plan.			
<b>Consequences</b>		Failure in continuity of service delivery. Negative impact on the most vulnerable on our communities. Damage to RDC reputation. Financial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

CRR 09 Governance Arrangements


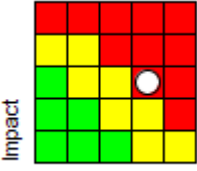

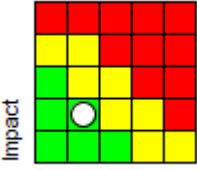
Risk Code	Risk Title	Description	Status
CRR 09	Governance Arrangements		
<b>Consequences</b>			
<b>Original Matrix</b>		<b>Original Rating Description</b>	
	<b>Original Impact</b>	C	2
		Medium	<b>Original Likelihood</b>
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>	
	<b>Current Impact</b>	C	1
		Medium	<b>Current Likelihood</b>
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>	
	<b>Target Impact</b>	C	1
		Medium	<b>Target Likelihood</b>
<b>Latest Progress</b>			<b>Last Review Date</b>
01 Feb 2011 Positive audit judgement made for governance arrangements.			24 Sep 2011
			<b>SMT Lead</b>
			Anthony Winship




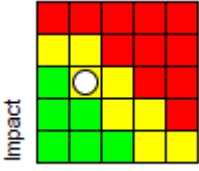
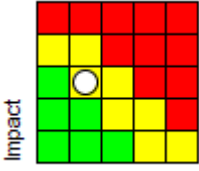
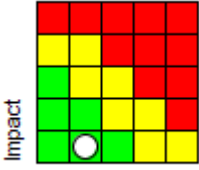
**CRR 10 Major Incident risk Flooding**

Risk Code	Risk Title	Description			Status
CRR 10	Major Incident risk Flooding	Ensure the Council is prepared to deal with a major flooding incident to meet its obligation for Emergency Planning.			
<b>Consequences</b>		Impact on local communities and service continuity.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	<b>Original Likelihood</b>	2
			Medium		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	B	<b>Current Likelihood</b>	2
			Minor		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	<b>Target Likelihood</b>	2
			Minor		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
01 Feb 2011 Major incident plan in place with training for all relevant officers undertaken in partnership with NYCC				24 Sep 2011	Phil Long


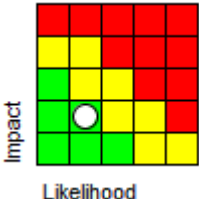
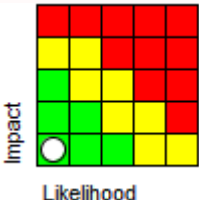
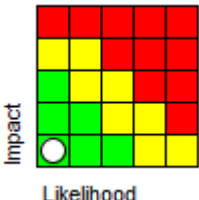
CRR 11 Council Assets

Risk Code	Risk Title	Description	Status
CRR 11	Council Assets	Ensure the Council has proper plan to ensure maintenance and fitness for purpose of the Council assets	
<b>Consequences</b>			
<b>Original Matrix</b>		<b>Original Rating Description</b>	
	<b>Original Impact</b>	C	4
		Medium	<b>Original Likelihood</b> Very Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>	
	<b>Current Impact</b>	C	2
		Medium	<b>Current Likelihood</b> Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>	
	<b>Target Impact</b>	B	2
		Minor	<b>Target Likelihood</b> Not Likely
<b>Latest Progress</b>			<b>Last Review Date</b>
01 Feb 2011 Major investment made resulting in improved facilities at Ryedale House, and energy efficiency at Council offices and sports facilities			24 Sep 2011
			<b>SMT Lead</b> Phil Long


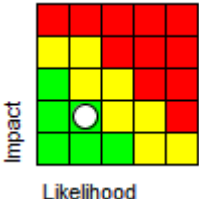
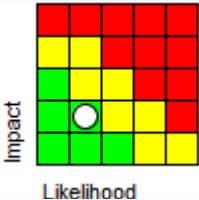
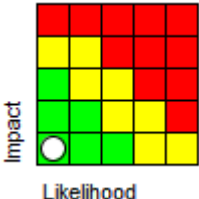
CRR 12 Customer Expectations





Risk Code	Risk Title	Description	Status
CRR 12	Customer Expectations	Failure to meet customer service standards & meet customer expectations.	
<b>Consequences</b>		Include CR02	
<b>Original Matrix</b>		<b>Original Rating Description</b>	
 <p>Impact</p> <p>Likelihood</p>	<b>Original Impact</b>	C	2
		Medium	<b>Original Likelihood</b>
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>	
 <p>Impact</p> <p>Likelihood</p>	<b>Current Impact</b>	C	2
		Medium	<b>Current Likelihood</b>
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>	
 <p>Impact</p> <p>Likelihood</p>	<b>Target Impact</b>	A	2
		Low	<b>Target Likelihood</b>
<b>Latest Progress</b>			<b>Last Review Date</b>
01 Feb 2011 Managing customer expectations through media and communications, including budget consultation, in relation to funding challenges facing the public sector.			28 Sep 2011
			<b>SMT Lead</b>
			Paul Cresswell

CRR 13 Fraud and Corruption

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

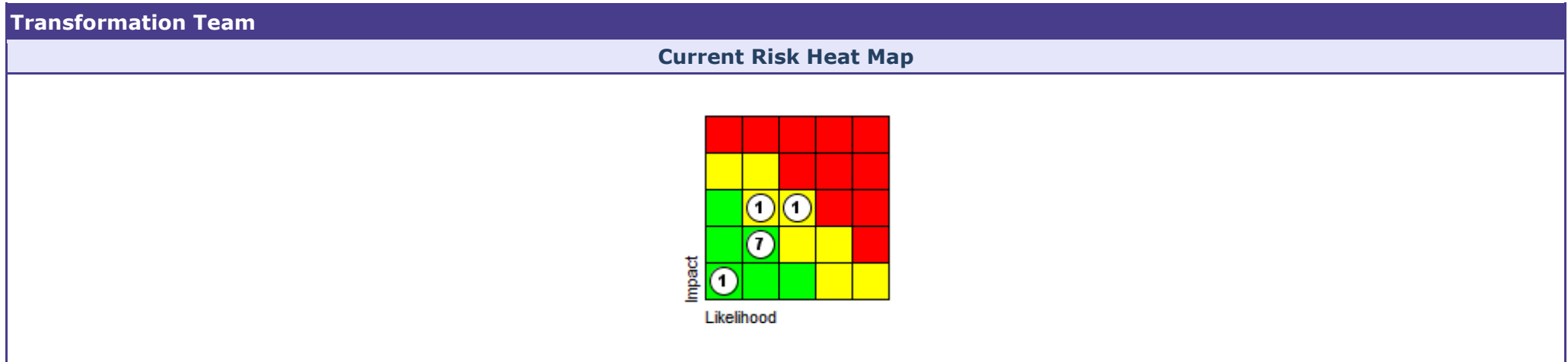
CRR 14 Data Quality

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

CRR 15 Delivering Efficiencies					
Risk Code	Risk Title	Description	Status		
CRR 15	Delivering Efficiencies	Council fails to meet efficiency targets which necessitates cuts to other services			
<b>Consequences</b>		Cuts to frontline services, reputational damage to the Council, possible poor outcome of external inspection.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b> Major		<b>Original Likelihood</b> Likely	
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b> Medium		<b>Current Likelihood</b> Not Likely	
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b> Minor		<b>Target Likelihood</b> Not Likely	
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>	
01 Feb 2011 The one-11 programme is on schedule and almost fully delivered with efficiency savings achieved so far of £950k towards the target of one million pounds. Proposal for a balanced budget with zero increase in council tax will be put to Council, largely due to the achievements in delivering efficiencies under the One-11 programme and through the efforts of the whole Council. The Financial Strategy, including revenue and capital programmes, will be presented to the meeting of Council on 21 February.			24 Sep 2011	Paul Cresswell	

# Service Risk Register - Transformation

Generated on: 02 February 2011

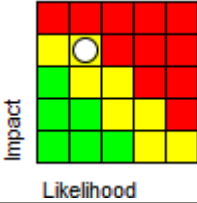
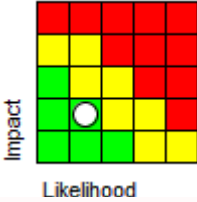
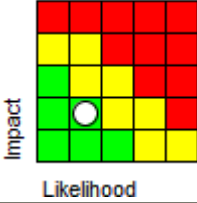


Status	Code	Title	Key										
	TT 01	Understanding local priorities	<table border="1"> <thead> <tr> <th colspan="2">Risk Status</th> </tr> </thead> <tbody> <tr> <td></td> <td>OK</td> </tr> <tr> <td></td> <td>Warning</td> </tr> <tr> <td></td> <td>Alert</td> </tr> <tr> <td></td> <td>Unknown</td> </tr> </tbody> </table>	Risk Status			OK		Warning		Alert		Unknown
Risk Status													
	OK												
	Warning												
	Alert												
	Unknown												
	TT 02	Poor quality uncoordinated community engagement											
	TT 03	Failure to deliver improvements in priority areas											
	TT 04	Failure to manage performance of the Council Plan											
	TT 05	Failure to develop investment to meet local needs											
	TT 06	Capacity of the organisation does not match our ambitions											
	TT 07	Failure to build effective partnerships											
	TT 08	Failure to co-operate in delivering the shared targets of the NYLAA											
	TT 09	Failure to involve our communities effectively											
	TT 10	Data Quality											


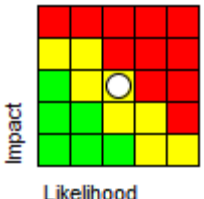
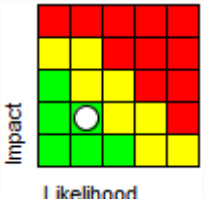
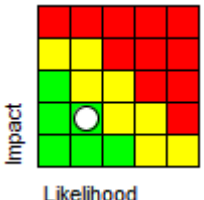
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Agenda Item 9


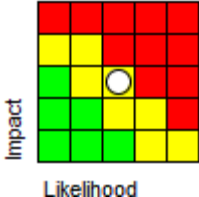
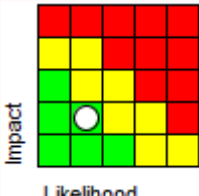
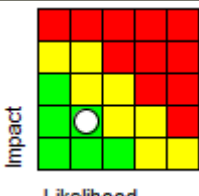
TT 01 Understanding local priorities

Risk Code	Risk Title	Description			Status
TT 01	Understanding local priorities	Failure to understand the needs of our customers and community			✔
<b>Consequences</b>		Failing to meet local needs and aspirations. Discrimination. Poor outcomes for vulnerable people. Poor VFM achieved			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	D	<b>Original Likelihood</b>	2
			Major		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	B	<b>Current Likelihood</b>	2
			Minor		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	<b>Target Likelihood</b>	2
			Minor		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
09 Dec 2010 Transformation Team now running the Ryedale Citizens Panel and other engagement activity. Also supporting other units in their engagement work. Community Engagement Strategy being delivered effectively with recent developments in engaging the voluntary sector through the RSP and the Business Community through the Ryedale Business Forum and the Tourism Commissioning Project. Budget consultation undertaken this year through the Budget Simulator. Arrangements for the future support of parish planning in Ryedale are currently under review.				15 Apr 2009	Clare Slater

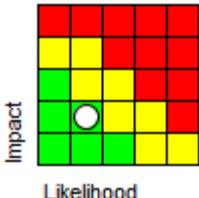
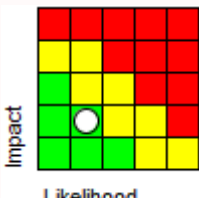
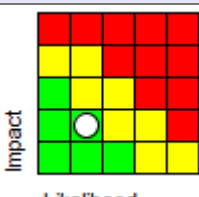


TT 02 Poor quality uncoordinated community engagement				
Risk Code	Risk Title	Description		Status
TT 02	Poor quality uncoordinated community engagement	Poor quality community engagement that is not coordinated		
<b>Consequences</b>		Consultation fatigue. Lack of empowerment. Loss of influence for members of our communities		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		Original Impact	C	Original Likelihood
			Medium	
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		Current Impact	B	Current Likelihood
			Minor	
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		Target Impact	B	Target Likelihood
			Minor	
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>
09 Dec 2010 Community Engagement Programme is managed through the Transformation Team and the planning and delivery of engagement activity is improving across the Council and the RSP is helping to co-ordinate activity across partners. The council is also involved in the North Yorkshire Community Engagement Forum which includes a wide range of public sector partners and who work together to deliver joined up engagement and also in sharing intelligence and developing skills. The capacity of the Transformation Team has increased significantly in terms of skills and this has in turn increased the capacity of the Council across services to engage more effectively and in a more co-ordinated way			15 Apr 2009	Clare Slater





TT 03 Failure to deliver improvements in priority areas

Risk Code	Risk Title	Description			Status
TT 03	Failure to deliver improvements in priority areas	Failure to deliver improvements in priority areas			
<b>Consequences</b>		Discrimination. Litigation. Damage to reputation. Poor outcomes			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	<b>Original Likelihood</b>	3
			Medium		Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	B	<b>Current Likelihood</b>	2
			Minor		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	<b>Target Likelihood</b>	2
			Minor		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
01 Feb 2011 Progress with delivering the Council Plan is reported to the Policy and Resources Committee at every meeting. A report detailing the delivery of the Councils Financial Strategy is also presented to this committee to compliment the performance report.				15 Apr 2009	Clare Slater




TT 04 Failure to manage performance of the Council Plan

Risk Code	Risk Title	Description			Status
TT 04	Failure to manage performance of the Council Plan	Failure to management performance of the Council Plan			✔
<b>Consequences</b>		Poor outcomes for members of our communities, particularly the most vulnerable.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	B	<b>Original Likelihood</b>	2
			Minor		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	B	<b>Current Likelihood</b>	2
			Minor		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	<b>Target Likelihood</b>	2
			Minor		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
01 Feb 2011 Covalent now used effectively to manage the performance of the Council. Improvement Planning for the Council also managed through this system. Regular performance reporting to members of the Policy and Resources Committee.				15 Apr 2009	Clare Slater

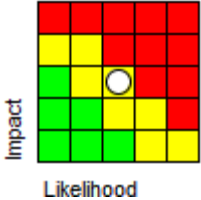
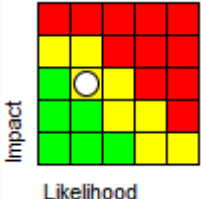
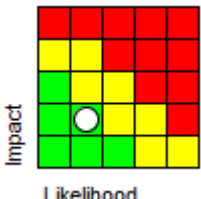
TT 05 Failure to develop investment to meet local needs

Risk Code	Risk Title	Description	Status
TT 05	Failure to develop investment to meet local needs	Failure to develop investment to meet local needs	
<b>Consequences</b>			
<b>Original Matrix</b>		<b>Original Rating Description</b>	
	<b>Original Impact</b>	B	2
		Minor	<b>Original Likelihood</b>
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>	
	<b>Current Impact</b>	B	2
		Minor	<b>Current Likelihood</b>
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>	
	<b>Target Impact</b>	B	2
		Minor	<b>Target Likelihood</b>
<b>Latest Progress</b>			<b>Last Review Date</b>
01 Feb 2011 VFM Strategy being implemented with VFM review programme underway and managed through covalent. VFM review programme linked to One 11 programme. Balanced budget being proposed to Council with no cuts proposed to front line services.			15 Apr 2009
			<b>SMT Lead</b>
			Clare Slater


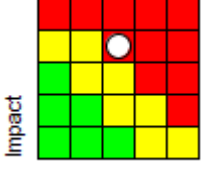
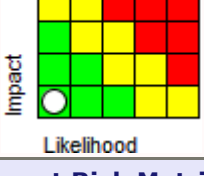
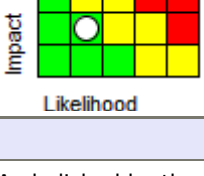
**TT 06 Capacity of the organisation does not match our ambitions**

Risk Code	Risk Title	Description		Status	
TT 06	Capacity of the organisation does not match our ambitions	Capacity of the organisation does not match our ambitions		▲	
<b>Consequences</b>		Failure to deliver improvements for local communities, damage to our reputation			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	D	<b>Original Likelihood</b>	3
<b>Current Risk Matrix</b>			<b>Current Impact</b>		C
		<b>Target Impact</b>		B	<b>Target Likelihood</b>
			<b>Latest Progress</b>	<b>Target Rating Description</b>	
15 Dec 2010 Delivery of Council priorities being achieved with consequences and impact of one 11 programme being managed effectively				<b>Last Review Date</b>	<b>SMT Lead</b>
			15 Apr 2009	Clare Slater	


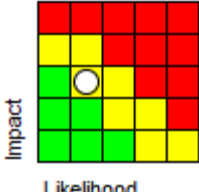
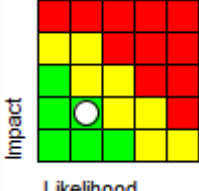
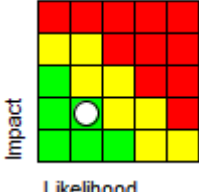
TT 07 Failure to build effective partnerships

Risk Code	Risk Title	Description			Status
TT 07	Failure to build effective partnerships	Failure to build effective partnerships			▲
<b>Consequences</b>		No added value achieved through partnership working			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	<b>Original Likelihood</b>	3
			Medium		Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	<b>Current Likelihood</b>	2
			Medium		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	<b>Target Likelihood</b>	2
			Minor		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
15 Dec 2010 Risks associated with significant partnerships being managed effectively				15 Apr 2009	Clare Slater

TT 08 Failure to co-operate in delivering the shared targets of the NYLAA


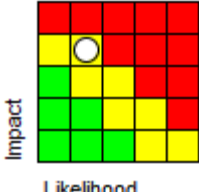
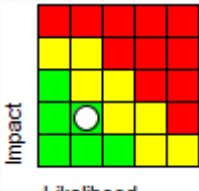
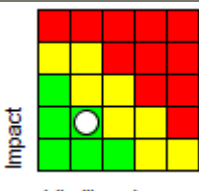
Risk Code	Risk Title	Description		Status
TT 08	Failure to co-operate in delivering the shared targets of the NYLAA			
<b>Consequences</b>		Breaching our duty to co-operate		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		<b>Original Impact</b>	D	3
			Major	<b>Original Likelihood</b>
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		<b>Current Impact</b>	A	1
			Low	<b>Current Likelihood</b>
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		<b>Target Impact</b>	B	2
			Minor	<b>Target Likelihood</b>
<b>Latest Progress</b>				<b>Last Review Date</b>
15 Dec 2010 NI's and LAA abolished by the coalition government				15 Apr 2009
				<b>SMT Lead</b>
				Clare Slater

TT 09 Failure to involve our communities effectively

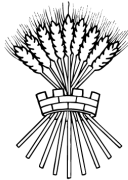
Risk Code	Risk Title	Description			Status
TT 09	Failure to involve our communities effectively				
<b>Consequences</b>		Breaching our duty to involve			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	<b>Original Likelihood</b>	2
			Medium		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	B	<b>Current Likelihood</b>	2
			Minor		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	<b>Target Likelihood</b>	2
			Minor		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
15 Dec 2010 Top quartile performance in relevant indicators. Citizens panel now fully operational and effective. Responses being used to influence future service design and delivery and prioritisation.				15 Apr 2009	Clare Slater



TT 10 Data Quality

Risk Code	Risk Title	Description			Status
TT 10	Data Quality	Failure to manage data quality			
<b>Consequences</b>					
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	D	<b>Original Likelihood</b>	2
			Major		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	B	<b>Current Likelihood</b>	2
			Minor		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	<b>Target Likelihood</b>	2
			Minor		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
15 Dec 2010 Data quality checks undertaken regularly by Transformation Team. Positive feedback from auditors on use of resources for 2009/10 though assessment not scored.				17 May 2009	Clare Slater

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<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>17 FEBRUARY 2011</b>
<b>REPORT OF THE:</b>	<b>HEAD OF ECONOMY AND HOUSING JULIAN RUDD</b>
<b>TITLE OF REPORT:</b>	<b>SAFER RYEDALE – PROGRESS WITH DELIVERING THE COMMUNITY SAFETY PLAN 2010/11</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

- 1.1 To inform Members of the progress towards delivery of the 2010/11 Safer Ryedale Action Plan
- 1.2 To present the document “Safer Ryedale and North Yorkshire Police Annual Assessment December 2010 – Joint Strategic Intelligence Assessment” (the Ryedale JSIA 2010) to Members.
- 1.3 To present the first draft of Safer Ryedale’s Action Plan 2011-12 for Member comment.

### **2.0 RECOMMENDATION**

- 2.1 It is recommended that Members note the report.

### **3.0 REASON FOR RECOMMENDATION**

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

### **4.0 SIGNIFICANT RISKS**

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

## REPORT

### 5.0 BACKGROUND AND INTRODUCTION

- 5.1 The Safer Ryedale Delivery Team meet approximately 6 times per annum to review progress towards delivery of the Safer Ryedale Partnership Plan. The Performance Monitoring Report is updated quarterly, identifying progress with each of the four priorities, through identifying progress towards meeting the objectives and actions. A traffic light system is used to assess progress.
- 5.2 The Ryedale JSIA 2010 was published in December 2010; it is the first truly joint assessment of Strategic Intelligence by North Yorkshire Police and their Community Safety partners.
- 5.3 The audience for the Ryedale JSIA 2010 is intended to be as wide as possible, whilst noting the sensitive nature of the contents. However, this document is classified as 'Restricted' by the Police and therefore may only be circulated freely within law enforcement and to partners and partnerships where Information Sharing Agreements are in place and registered with the Force Information Manager, Legal and Compliance Directorate. This is not a public document and is exempt from the Freedom of Information Act 2000 under Section 31.
- 5.4 In view of this, it is recommended that the public be excluded during any specific consideration of the JSIA which is appended to this report as EXEMPT Annex C since it is likely that if they were present during its consideration there would be disclosure of exempt information as defined in Part I of Schedule 12A to the Local Government Act 1972 (as amended) paragraph 7: "Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.
- 5.5 Safer Ryedale's Priorities for 2011-12 are based on the data published in the Ryedale JSIA 2010 and other, locally identified, priorities.

### 6.0 POLICY CONTEXT

- 6.1 Council Priorities 2009 – 2013 Aim 4: To have active communities where everyone feels welcome and safe.

### 7.0 CONSULTATION

- 7.1 A variety of approaches are used to engage with communities, both face to face and through consultation exercises. These include:
- Website [www.ryesafe.org](http://www.ryesafe.org)
  - Media opportunities – Safer Ryedale has a target of 12 press releases per annum
  - A 'media diary of events' has been drawn up to highlight the community based events for the Partnership throughout the year
  - CAP (Community & Police) meetings
  - Parish Liaison Forum
  - Voluntary Sector Forums
  - Bi-annual street surveys in all four of Ryedale's market towns
  - The new 'Rural Voice' project, co-ordinated by Ryedale Voluntary Action, contributes to the involvement of the voluntary sector in Safer Ryedale's processes
  - Valued network of Watch Groups.

7.2 One gap identified in the consultation undertaken in previous years was in relation to feedback from young people. Although 'street surveys' are carried out at youth centres a more representative sample was required. During 2010/11 a significant amount of work has been undertaken to engage with young people through youth groups and councils, air and army cadets, the Young Farmers and the Young People's Officer.

## 8.0 REPORT DETAILS

### **2010/11 Partnership Plan**

8.1 The Partnership Plan was published, on line, in May 2010, on the Safer Ryedale website. [www.ryesafe.org](http://www.ryesafe.org). A summary leaflet was also printed and distributed. The Performance Monitoring Report for Quarter 3 of 2010/11 is in Annex B.

8.2 The Performance Monitoring Report details progress under each of the four priorities:

### **Domestic Violence (p 2 of Annex B refers)**

8.3 Delivery of the actions under this priority depends on close working with the Domestic Violence support structure, including the Domestic Violence Co-ordinator (DVC) for Scarborough and Ryedale. The previous DVC moved to another post in August 2010; the post was in the process of being taken over by North Yorkshire Police (NYP), who has now made an appointment (with effect from 1 February 2011). However there has been no-one in this post for six months and this has had an impact on delivery, especially in relation to work being carried out in schools.

### **Safer Roads (p 5 of Annex B refers)**

8.4 The action under objective 1 to deliver 8 Operation Sirens has had to be put on hold, as NYP have withdrawn their support for this initiative, due to the Association of Chief Police Officers having issued a directive that Police Forces should use a different process for deterring speeding. NYP is unable to continue supporting Operation Siren for the time being.

### **Community Priorities (p 7 & 9 of Annex B refers)**

8.5 Under objective 1, there has been an excellent take-up this year of new Neighbourhood Watch Schemes with a total of 48 new schemes having started since April 2010, bringing the total number of schemes in Ryedale to 359.

8.6 Under objective 3, training on fixed penalty tickets for dog fouling is taking place in February 2011 for Street Scene operatives, car park attendants, PCSOs and the Dog Warden.

8.7 Under objective 4, Multi-Agency Partnership meetings (MAPs) are currently only taking place in two out of Ryedale's four secondary schools. This has been due to staff changes at Ryedale School (and should change when a staff member returns from maternity leave) and a parent complaint at Norton College; the complaint concerned a child's behaviour being discussed without parental knowledge and MAPs have been suspended while a policy is being written.

### **Alcohol Harm Reduction (p 12 of Annex B refers)**

8.8 Two detached youth workers work in Ryedale for four hours a week out of office hours, in order to combat the increasing rise in numbers of young people presenting with drug and alcohol issues in Ryedale.

The detached youth workers meet with young people on the streets, wherever the

young people choose to meet together. In November they carried out a successful awareness-raising day about drug/alcohol issues and risky behaviour at Norton College. They have been involved in helping to resolve some of the issues around the youth shelter in Eastgate car park in Pickering, and can refer young people to agencies for treatment.

Safer Ryedale has put £8,250 into this work in 2010/11; it is unlikely that this level of funding will be available for the coming year.

#### **Community Engagement (p 14 of appendix B refers)**

- 8.9 All press releases are posted on the Safer Ryedale website – [www.ryesafe.org](http://www.ryesafe.org) – together with performance monitoring reports, meeting papers and other items of interest.

#### **Introduction to the Ryedale JSIA 2010**

- 8.9 The Community Safety Partnership (CSP) has a statutory responsibility to produce a Joint Strategic Intelligence Assessment annually in order to review crime, disorder and substance misuse issues and determine which areas should be priorities for the coming year. The police are also required to deliver annual Strategic Assessments.
- 8.10 In May 2010, North Yorkshire Police ceased the creation of police-only Strategic Assessments, focusing upon working with partners to deliver a truly joint assessment.
- 8.11 The resultant document is therefore GPMS 'Restricted' and is an internal document for use by the partnership and constituent member agencies, as well as providing North Yorkshire Police with the required level of strategic analysis across a number of areas of law enforcement.
- 8.12 Common themes from the CSP level assessments will feed up into the county picture in the form of the Community Safety Agreement (CSA).
- 8.13 The document contains a comprehensive picture of the work of Safer Ryedale, the context in which that work is carried out, and the problems of crime, disorder and substance misuse which the Partnership seeks to address.
- 8.14 In Section 1.2 – Methodology – the prioritisation method is described. Appendix A of the Ryedale JSIA 2010 shows the matrix used to determine which themes would be selected for enhanced JSIA analysis, described in Section 6. These cover Domestic Abuse, Anti-Social Behaviour, Alcohol Related Offending and Road Safety, closely mirroring the priorities identified by other partners.
- 8.15 Section 7 contains standard JSIA analysis of other issues, some of which were identified by Safer Ryedale partners (partly through responses to their twice yearly public consultation exercise) as local priorities and were therefore included in the Priorities selected for 2011-12.

#### **Safer Ryedale's Action Plan 2011-12 (Draft)**

- 8.16 Safer Ryedale Delivery Team, meeting on 17 August 2010 (when initial prioritisation for the Ryedale JSIA 2010 had been published) agreed the following four 'Priorities for Action' for 2011-12.
- Domestic Abuse
  - Safer Roads
  - Community Priorities to include Anti-Social Behaviour, Shop Theft, Theft from Unattended Vehicles and Violence

- Alcohol Harm Reduction

8.17 Following publication of the final Ryedale JSIA 2010, a working group met in January 2011 to decide the aims and objectives for each of the priorities. The working group took into account the need to focus resources, avoiding duplication and adding value where possible through partnership working.

8.18 The draft Action Plan is attached to this report at Annex D. It outlines the aims and objectives for each priority, and gives an indication of the baselines and targets agreed by the working group. The actions are still being developed.

8.19 The draft Action Plan is currently being reviewed by each of the four Priority Task Groups, to determine what actions they will deliver in 2011-12. When this process is complete and the Safer Ryedale Delivery Team and Ryedale Strategic Partnership (acting as the Safer Ryedale Board) approve the completed document, it will be brought back to this Committee.

8.20 Officers will then prepare the 2011/12 Safer Ryedale Partnership Plan, which is the community focussed publication. As in 2010, this will contain

- A review of activity in 2010/11
- Key messages from the JSIA
- Description of the Safer Ryedale Partnership structure
- Statistical evaluation
- Details of community engagement
- Priorities for 2011/12
- New activities or initiatives
- Funding and resources.

## 9.0 IMPLICATIONS

9.1 The report is for information only

## 10.0 NEXT STEPS

10.1 The Priority Task Groups will identify actions for the draft Safer Ryedale Action Plan 2011-12 by the end of March 2011.

10.2 The Safer Ryedale Partnership Action Plan will be presented to the RSP Board on 14 April for approval.

10.3 It will then be presented to the Overview and Scrutiny Committee on 14 April 2011.

**Julian Rudd**  
**Head of Economy and Housing**

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**Background Papers:**  
 None

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## Safer Ryedale Priorities Action Plan - RISK MATRIX – ANNEX A

Issue/Risk	Consequences if allowed to happen	Likelihood	Impact	Mitigation	Mitigated Likelihood	Mitigated Impact
That the Safer Ryedale Priorities Action Plan does not address the key issues for partners and for the community of Ryedale.	Work might be carried out by all partners with scarce resources being expended for little or no result	<b>4</b>	<b>C</b>	All members of Priority Action groups to focus on setting SMART Actions and Targets	<b>1</b>	<b>A</b>
The Safer Ryedale Plan is not delivered	Crime and perception of crime will increase	<b>4</b>	<b>C</b>	Ensure quarterly performance monitoring to keep on track with delivery actions	<b>2</b>	<b>A</b>
Partners duplicate activity	Waste of resources	<b>3</b>	<b>C</b>	Task groups assign actions	<b>1</b>	<b>A</b>

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

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# **PARTNERSHIP PLAN 2008 – 2011**

## **ACTION PLANS 2010 – 11**

### **Performance Monitoring Report Quarter 3**

**Domestic Abuse**

Aim: To protect and support people experiencing domestic abuse in the Ryedale District.

<b>Indicators:</b> NI 32 Repeat incidents of Domestic Violence NI 20 Assault with injury rate L60 Reduce the incidence of violent crime The number of violent crimes a) The proportion of violent offences Which result in Sanction Detections	<b>Baselines &amp; Target Reduction</b> NI 32 County Target Reduce by 7%	<b>NI 32</b>	<b>NI32 7 MARACS 2 REPEATS 28% REPEAT RATE</b>			
<b>Objective 1: To reduce repeat incidents of domestic violence reviewed at MARAC (Multi Agency Risk Assessment Conference)</b>						
<b>Action</b>	<b>Who</b>	<b>When</b>	<b>30/06/10</b>	<b>30/09/10</b>	<b>31/12/10</b>	<b>31/03/11</b>
Coordinate and facilitate Multi Agency Risk Assessment Conferences( MARACs)	RADA	On going	Green	Green	Green	
Continue to provide multi agency intervention to incidents of domestic abuse through the provision of ALL elements of Making Safe	RADA	April 2010	Green	Green	Green	
Provide information on support networks to the public including the hard to reach communities eg BME, travellers and those in rural isolation	RADA	On going	Green	Green	Green	
<b>Comments</b>  Qtr 1 - Teenage Violence Group – ready to run just waiting for Scarborough Borough Council legal department to send out offer document and then they will start. Sandra has applied to NYCC for funding to train the trainers on working with teenagers who are violent so that we can sustain the programmes. This will involve training front line workers such as Youth Justice Services and Targeted Youth Support. Foundation Housing Worker – ongoing will have figures on how many offenders supported after the end of the first quarter.  Qtr 2 - MARAC's that are being called in Ryedale are low despite raising awareness and training sessions that have been given in the Ryedale area. Making Safe – no data available reports requested. Teenage Violence Group – now running on Tuesday evenings, reports requested from delivery service. Freedom programme now ongoing – reports requested from delivery service.  Qtr 3 - WWI held an awareness raising day at Ryedale House on 17 November, this was an extremely well attended event with 55 people attending.						

Foundation Housing are currently working with 3 customers from Ryedale, all male. Keith attends the Specialist Domestic Violence Court on Wednesdays and picks customers up that have fallen through the net. Keith updates the Making Safe database and ensures that all the front line workers are up to date on each case within Making Safe. Data requested from DAS, Foundation and IDVA on Making Safe for Quarter 3.

<b>Objective 2:</b> To deliver awareness raising and education initiatives on domestic abuse within the community.						
Action	Who	When	30/06/10	30/09/10	31/12/10	31/03/11
Provide teacher training to schools across Ryedale on impact of domestic abuse on children and young people	CYP working Group	Beginning March 2010	Green	Green	Green	
Provide sessions with pupils to schools on domestic abuse in line with school curriculum	CYP working Group	Beginning September 2010	Green	Red	Red	
Provide awareness raising events on evenings and weekends alongside the Alcohol Harm Reduction Group on alcohol and links to domestic abuse incidents across Ryedale.	RADA and AHRG	July 2010	Green	Green	Green	
Deliver Missdorothy.com into Ryedale schools and encourage other agencies to use in schools eg police, fire brigade	CYP working Group	On going	Green	Green	Green	
Provide a multi agency awareness raising day within Ryedale to increase referrals to Making Safe and MARAC	RADA	19 <sup>th</sup> March 2010	Green	Green	Green	
<b>Comments</b>						
Qtr 1 – Freedom Project, trainers will be attending the training in August following this, the programmes will begin. World Cup – posters developed and delivered and put out in all licensed premises etc. Leaflets to properties across Ryedale by Youth Justice Service’s reparation team. Scarborough Safer Communities Partnership funded signage for all police vans across the Borough of Scarborough and Ryedale. The idea is that the signage can remain on the vehicles all year round which will make a big impact. Some Council vans also have the posters on. Lip balms delivered and distributed through training sessions etc given to key agencies across Ryedale.						

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Qtr 2 – Briefing session on Miss Dot held at Norton Primary school who have now signed up to programme, awaiting confirmation of other schools in the area. Concerned that Domestic Abuse Co-ordinator role vacant at present time, however, RADA are aware of outstanding actions.

Qtr 3 – Domestic Abuse Services are attending Stay Safe Campaigns this Christmas linking Home Drinking. DAS are currently working with the supermarkets to advertise in store and put on exhibitions in the car parks at the busiest times of year.

Domestic Abuse packs have gone out to all doctors, nurses, midwives in Ryedale promoting the work that Domestic Abuse Services and Safer Ryedale do for victims and perpetrators of domestic abuse.

Packs also going out to all PC's in Ryedale, reminding them of the referral procedure including leaflets, cards and lipsalves.

£3,500 has been secured from NYCC for the provision of Safety Planning training across the District of Ryedale and Borough of Scarborough in Jan, Feb, March. The funding is to upskill all those agencies working with CYP to enable them to talk to children and provide basic safety planning.

Sandra Rees and DAS are currently working with Integrated Services to look at providing more therapeutic work and provide train the trainers sessions to CYP workers to provide group work for children that are identified at CAF or through Making Safe. All of this work compliments the work in schools and will allow support the planned educational packages for CYP.

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### Safer Roads

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

Indicators:	Baselines & Target Reduction	30/06/10	30/09/10	31/12/10	31/03/11
NI 147 People Killed or Seriously Injured in road accidents	County Target Traffic				
<b>Objective 1:</b> To respond to community concerns on the dangers of excessive and inappropriate speed through the delivery of education initiatives involving a range of agencies.					

Action	Who	When	30/06/10	30/09/10	31/12/10	31/03/11
Identify main groups for targeted education initiatives (ie Drive Alive, Drive Wise). Learner Drivers (1) Youth Groups (1) Elderly Drivers (2) BME Groups (2) Local business (4)	Road Safety Travel Awareness Officer	April - March	Green	Green	Green	
Deployments of auto traffic counters ie data logger – minimum 20 ATC deployments	CSCM	April - March	Green	Green	Green	
Deliver 8 Operation Siren events at venues informed by intelligence gained from ATC deployments/community feedback	Community Safety Sergeant	April - March	Green	Amber	Amber	
Car and bike trailer – use to be targeted in association with a minimum of 4 RTC educational initiatives	CSCM	April - March	Green	Green	Green	
Hand held lasers to be deployed using intelligence from ATC deployments and community concerns (speed concern flow chart) – Target of 100 deployments	SNT Sergeants	April - March	Green	Green	Green	
Extend the high viz vest initiative to encompass 5-7 year old age group	Road Safety Travel Awareness Officer	April - March	Green	Green	Green	

**Comments:**

Qtr 1 – Four data logger deployments have been carried out. Four young driver events planned and two elderly driver events booked. Car and bike trailer were utilised at the Safer Summer Wheels event at Helmsley. 16 hand held lasers have been deployed. Funding has now been confirmed for the high viz vest initiative, these will be purchased shortly ready for distribution in mid September. One operation siren has been completed in the village of Marton.

Qtr 2 – Four data logger deployments have been carried out. Two speed matrix sign deployments. The car and bike trailer have been used at one event in Helmsley. New procedure produced for Data logger deployment including single point contact. Operation Siren's are red due to new county wide initiative being rolled out. Hi visibility vest have now been distributed to all schools in Ryedale, Safer Ryedale have given prizes for pupils walking into school wearing their vests.

Qtr 3 – Three data logger deployments and four speed matrix deployments, four Safer Winter Driving events across the market towns of Ryedale, two joint winter vehicle checks with NYP and one older driving event in Helmsley. Christmas Drink Drive and Safer Winter Driving launched 3 December, "DES Driver" campaign targeting all licensed premises across Ryedale.

<b>Objective 2:</b> To raise awareness of Road Safety issues via community engagement.						
<b>Action</b>	<b>Who</b>	<b>When</b>	<b>30/06/10</b>	<b>30/09/10</b>	<b>31/12/10</b>	<b>31/03/11</b>
Produce a diary of events for the partnership to attend and for media opportunities	Community Partnerships Officer	June	Green	Green	Green	
Liaise with relevant Town & Parish Councils/Community Groups over results of ATC deployments	Highways/NYP	April – March	Green	Green	Green	
Produce a referral request form to be used by Town/Parish Councils and members of the public for data logger deployment	Community Partnerships Officer	April - March	Green	Green	Green	
Present to both Parish Liaison meetings and various CAP meetings in the next 12 months	CSCM	April - March	Green	Green	Green	
Deliver a minimum of 12 media releases regarding road safety	All Partners	April - March	Green	Green	Green	

**Comments:**

Qtr 1 – The Safer Roads Steering Group has received 16 requests for ATC deployments. A referral form has been send to all Town/Parish Councils with a letter explaining the new procedure. Over 100 motorcyclists received education and merchandise on bike safety at the Safer Summer Roads event on Sunday 4<sup>th</sup> July at Helmsley Market Place. All agencies were in attendance, also RAC and local Driving Schools.

Qtr 2 – Four Community and Police meetings have been attended. Two press releases have been issued. We have successfully completed five young driver events in all of the market towns in Ryedale.

Qtr 3 – CAP meetings now being attended by NYF&RS, Parish representatives have been invited to Fire Stations across Ryedale for an update into the role of the CSV CM and vehicle, there was poor uptake on this with 3 out of 5 meetings being cancelled due to no take up.



## Community Priorities

Aim: To minimise the effects of crime and anti-social behaviour on the communities within Ryedale thereby contributing to a positive view of the District.

Indicators:	Baselines & Targets	30/06/10	30/09/10	31/12/10	31/03/11	
NI 17 (L67) Perceptions of ASB to 8%	b/l 11%, target 3%, 1% per yr					
NI 19 Rate of proven re-offending by young offenders	County target			48/72		
NI 30 Re-offending rate of PPOs	County target			(-27%)		
NI 41 Perceptions of drunken rowdy behaviour as a problem to 14%	b/l 17%, target 3%, 1% per yr			122/181		
LI Burglary dwelling	b/l 99, target 10% to 89 by 11	15/60	33 (16% reduction)	(-23%)		
LI Burglary other than a dwelling	b/l 239, target 5% to 227 by 11	54/216	92 (5% reduction)	241/361		
LI Criminal damage	b/l 516	82/328	160 (13.8% reduction)	(30%)		
LI Damage to vehicles	b/l 191, target 5% to 182 by 11	31/124	74 (5% reduction)	100/150	(-27%)	
<b>Objective 1:</b> To reduce burglary other and theft other by 10% 2008-2011						
Action	Who	When	30/06/10	30/09/10	31/12/10	31/03/11
Continue Nominated Neighbour, Sheduction and Seasonal Crime Reduction Initiatives eg No Cold Calling Zones	SNT Sergeants CSS	April – March	Green	Green	Green	
Continue to promote Buying Time DVD on rural crime at events throughout Ryedale	Safer Ryedale Team	April – March	Green	Green	Green	
Plan diary of events for partnership to attend and for media opportunities for 2010/11	CPO	April – March	Green	Green	Green	
Continue to promote Watch Schemes	SNT Sergeants	April – March	Green	Green	Green	
Continue to promote security of pedal cycles	CPO/CSS	April – March	Green	Green	Green	
Feasibility study into provision of cycle lockers at high risk locations	CPO/CSS	April – March	Green	Green	Green	
<b>Comments:</b>						
Qtr 1 – 22 new neighbour watch schemes have been set up since 1 April 2010. A number of other initiatives running include “Immobilise for mobile phones”, Allotment Watch, Cocoon Watch and Nominated Neighbour. Initiatives started to prevent thefts from vehicles in the areas beauty spots. The cycle security initiative is ongoing in Dalby Forest and key locations. A request has been made to RDC regarding the purchase of cycle lockers for the three market towns.						

Qtr 2 – Since 1 June 2010 24 new neighbourhood and country watch schemes have been initiated in the Ryedale area. As part of Operation Page businesses are being targeted to promote watch schemes and shededucation. Trading Standards have set up 3 No Cold Calling Zones in Kirkbymoorside (Springfield Lane/Stuteville Close/Kildare Garth/Dunaway area) and 2 in Thornton le Dale (Roxby Gardens and Aunums Close).

Qtr 3 – Trading Standards – no further cold calling zones set up this quarter. 29<sup>th</sup> November 2010 Shededucation re launched with crime prevention check list been sent out into Ryedale’s primary schools for children to check the safety of their sheds and garages with parents utilising the check list. Press release completed. Between 1 October and 1 December 2010 four new Watch Schemes were started making a total of 48 since 1 April 2010.

In response to the rise in rural crime and poaching in Ryedale, we have introduced operation Sainfoin which directs resources into the area to disrupt, deter and prosecute travelling criminals responsible for trespassing on land in pursuit of game. NYP has enlisted the help of other Partners which include, the Ministry of Defence Police based at RAF Fylingdales, Forestry Commission, NY Moors Rangers, RSPCA, Humberside and Cleveland Police and the NFU.

**Objective 2: Criminal Damage**

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Action	Who	When	30/06/10	30/09/10	31/12/10	31/03/11
Meeting as and when required of a small dedicated action group to address criminal damage	Safer Ryedale Team	April – March	Green	Green	Green	
From established baseline 2008/9 data on criminal damage to develop an action plan to achieve a 10% reduction by April 2011	Safer Ryedale Team	April – March	Green	Green	Green	

**Comments:**

Qtr 1 – The criminal damage figures for quarter one are 82, this shows a 10% reduction on the figure for quarter 1 in the previous year.

Qtr 2 - Background work has been done with regard to tackling criminal damage, dedicated work has been done in schools regarding graffiti, therefore an additional meeting is deemed unnecessary. Current figures for criminal damage stand at 184 which is 20 or 9.83% less than the target figure. Posters for shops are being obtained regarding selling of eggs to children during halloween and mischief night.

**Objective 3:** Improve perceptions of anti-social behaviour and reduce fear of crime by publishing and responding to public priorities highlighted by the community consultation survey

Action	Who	When	30/06/10	30/09/10	31/12/10	31/03/11
Make full use of media and other publicity vehicles to achieve a minimum of 12 articles by March 2011	CSS/CPO	April – March	Green	Green	Green	
Maintain an ongoing consultation process on perception of anti social behaviour by utilising the Safer Ryedale website and twice yearly street surveys to be held in July 2010 and January 2011	CSS/CPO	April – March	Green	Green	Green	
Address the issue of dog fouling already identified by street surveys, through a system of robust enforcement (RDC to update Policy to NYP to issue tickets)	Street Scene/CSS/CPO	April – March	Green	Green	Green	
Develop a Local Policy Framework for the publication of ASBO's	C&DO	April – March	Green	Green	Green	
Develop and implement a ASB Minimum Standards of Response Policy for Ryedale	C&DO	April – March	Green	Green	Green	
<b>Comments:</b>						
Qtr 1 – The issue of fixed penalty tickets has been approved at the Commissioning Board, the tickets are currently being printed.						
Qtr 2 – The bi-annual street survey has been completed in quarter 2, 410 questionnaires were completed and the results will go into the JSIA, posted on the website and a press release issued. Offence training power point relating to dog fouling and littering created for delivery to Police and RDC staff awaiting final documentation from RDC on policy and procedures.						
Qtr 3 – The Take the Lead, Take the Bag campaign is now ready to be launched. Flyers and training package now complete. Street Scene, Dog Warden and PCSO's will be trained in February.						

**Objective 4:** To target young offenders, vulnerable people and those at risk of offending through support, education and diversionary activities to reduce incidents of repeat offending.

Action	Who	When	30/06/10	30/09/10	31/12/10	31/03/11
Maintain baseline data of young offenders on ASBO, ABC and MAPS Groups	C&DO	March 2011	Green	Green	Green	
Ensure continuance of the MAPS Groups by close liaison with four secondary schools and attendance at all meetings	C&DO	March 2011	Green	Amber	Amber	

Continue Restorative Justice Scheme for 10-17 year olds. Report to Delivery Team on progress of scheme	SNT Commander	March 2011	Green	Green	Green	
Maintain proven diversionary activities for young people in Ryedale:- Range of positive activities	Community Priorities SG	March 2011	Green	Green	Green	
To initiate a NHW (youth version) for school age children	Community Priorities SG	March 2011	Green	Green	Green	
<b>Comments:</b>						
<p>Qtr 1 – Four serious neighbour disputes ongoing. Six Anti Social Behaviour Orders in force. MAPS meetings are continuing at three of the districts secondary school (Lady Lumley's 23, Malton 12, Norton 9, no figures for Ryedale school due to staffing issues). Nineteen Restorative Justice Orders have been completed with only 3 young people re-offending. A competition has been done in all the schools in Ryedale to come up with a name for the youth version of the new Neighbourhood Watch Scheme, the winning name will be printed on the back of the hi viz jackets that will be delivered to all 5-7 year olds in September. Diversionary activities have been planned for Rainbow Lane, King Georges Playing Field and Kirkbymoorside Tennis Club. Provisional activities planned at Norton skate park – to be confirmed.</p> <p>Qtr 2 – A press release was issued regarding 'School Watch', Grace Clark (St Joseph's RC School, Pickering) won the competition to design the back of the hi-visibility jackets, which have now all been distributed to schools in Ryedale. Across the Ryedale District the Youth Restorative Justice Scheme has been used with 30 young people and this represents 10% of the total for Hambleton, Scarborough and Ryedale districts. Currently no ABC contracts in place and 6 ASBO's in place with no breaches in quarter 2. MAPS meetings not going ahead at Ryedale School and Norton College due to staff changes.</p> <p>Qtr 3 – MAPs ongoing in Lady Lumley's and Malton School, meetings will resume at Ryedale school once Helen Tuke returns from maternity leave and Norton College meetings have stopped due to a complaint from a parent.</p>						

## Alcohol Harm Reduction

Aim: To deliver the contents of the Alcohol Harm Reduction Strategy for the Ryedale District.

Indicators:	Baselines & Targets	30/06/10	30/09/10	31/12/10	31/03/11	
NI 41 Perceptions of drunken rowdy behaviour as a problem NI 115 Substance misuse by young people	b/l 17%, target 3%, 1% per yr to 14% County target					
<b>Objective 1:</b> To continue to raise awareness on the consequences to individual's health and community welfare.						
Action	Who	When	30/06/10	30/09/10	31/12/10	31/03/11
Review and develop the strategy	Steering Group	June 2010	Green	Green	Green	
Promote an active generic partnership agreement to improve information sharing and collective problem solving	All relevant agencies	March 2011	Green	Green	Green	
To link into the County Strategy in respect of Alcohol Respect Campaign/I Pass and to re-enforce supportive measures with licensees	Crime & Disorder Officer/NYP	March 2011	Green	Green	Green	
To run an education programme delivered across all age groups via the alcohol harm reduction group partners	External Agency	March 2011	Green	Green	Green	
Introduce the Miss Dot and Watch Over Me programmes into schools and colleges which look at risk taking.	Sandra Rees/NYP	March 2011	Green	Green	Green	
Develop a database of information and analysis on alcohol related incidents	All relevant agencies	March 2011	Green	Green	Green	
<b>Comments:</b>						
Qtr 1 – Schools are being targeted with the aim of providing education and support/referrals into tier 3 services. Meetings have been arranged with 3 of 4 Ryedale secondary schools. The delivery of Miss Dot and Watch Over Me is ongoing in Ryedale schools.						
Qtr 2 – Training on Miss Dorothy has been given to PCSO's and teachers, several teachers showed interest in rolling Miss Dorothy out in their schools.						
Qtr 3 – Miss Dorothy and Watch Over Me programmes currently not being pushed due to the Domestic Abuse Co-ordinator post not being filled, the post will be filled by NYP on a secondment basis by existing staff.						

<b>Objective 2:</b> To promote the availability of information on alcohol misuse and services available in the Ryedale District						
<b>Action</b>	<b>Who</b>	<b>When</b>	<b>30/06/10</b>	<b>30/09/10</b>	<b>31/12/10</b>	<b>31/03/11</b>
Develop a media programme for the district promoting links to national campaigns and initiatives	Steering Group	March 2011	Green	Green	Green	
Maintain and develop links into the Pub watch meetings	Crime & Disorder Officer/NYP	March 2011	Green	Green	Green	
Review feasibility of detached youth work across the district	Crime & Disorder Officer/NYP	March 2011	Green	Green	Green	
Develop a link between the Housing Strategy and Safer Ryedale Partnership Plan to reduce homelessness through better education	Housing Associations	March 2011	Green	Green	Green	
<b>Comments:-</b>						
<p>Qtr 1 – The Pub Watch meeting was held on 14 April 2010, the next meeting is planned for August 2010 in Malton. Pickering, Helmsley and Kirkbymoorside meet quarterly unless additional meetings are needed to discuss individuals to be banned. Pickering are working on a new system - if an individual is caught purchasing proxy sales they are automatically banned from the pubs. Targeted outreach has been ongoing since the beginning of May, making contact with young people on the streets in Pickering and ascertaining where problem areas are in the town. Outreach being undertaken in Pickering primarily on Friday evenings although young people are also being targeted on Tuesday evenings at Atmosphere. Also been attending the Brooklyn Centre at Norton. Links between Housing and Safer Ryedale working well ie joint tenant meetings and problem solving meetings.</p> <p>Qtr 3 - Housing staff and CAB consultants contacted the Crime &amp; Disorder Officer regarding a Ryedale resident who had recently been subject to abuse from her husbands friend, the man had moved into the family property while the husband was working away, the victim felt uneasy in her own home. The perpetrator was subsequently arrested and is awaiting questioning by the Border Police. This was a result of links between organisations.</p>						

<b>Objective 3:</b> To reduce the level of alcohol related crime and disorder offences as perceived by the community						
<b>Action</b>	<b>Who</b>	<b>When</b>	<b>30/06/10</b>	<b>30/09/10</b>	<b>31/12/10</b>	<b>31/03/11</b>
Develop a process of identification and monitoring of alcohol related	Street		Green	Green	Green	

litter finds	Scene/Community Safety Link Officer/NYP	March 2011				
Ensure links to the Domestic Abuse Forum initiatives and deliver joined up awareness raising events to include the World Cup	Sandra Rees	March 2011	Green	Green	Green	
Respond to above hot spot locations by means of attendance from appropriate agencies	Street Scene/Community Safety Link Officer/NYP	March 2011	Green	Green	Green	
Continue to monitor Refusal Registers to track the adherence to 'No Id No Sale' Initiative	NYP/Trading Standards	March 2011	Green	Green	Green	
<p><b>Comments:</b></p> <p>Qtr 1 – Trading Standards have visited 5 pubs and 1 shop in Pickering, no test purchasing carried out. No NCCZ's this quarter. Domestic Violence posters placed in public houses and Council refuse wagons. PCSO's continue to check and sign Off Licence premises refusal registers. 2 x adults prosecuted for buying alcohol for children. 2 x teenagers cautioned for using fake ID. Street Scene continuing to report drug and alcohol litter finds to NYP. The appropriate agencies are continuing to exchange information on hot spot locations ie Youth Workers at Atmosphere informing the Sgt Roy Brown where the problem areas are and also Police informing Youth Workers where they are having problems.</p> <p>Qtr 2 – Trading Standards have made visits to 3 pubs, 4 shops in Pickering and 3 shops in Malton. No test purchasing has been carried out in this quarter.</p> <p>Qtr 3 – Trading Standards – no visits/complaints in Ryedale this quarter. New hot spots have been identified in Pickering due to alcohol related litter finds.</p>						

## Community Development

Aim: To encourage community participation to inform Safer Ryedale's work.

Indicators:			30/06/10	30/09/10	31/12/10	31/03/11
<b>Objective 1:</b> To develop opportunities to involve the community in raising concerns, setting priorities and to receive information on Safer Ryedale's Work						
Action	Who	When	30/06/10	30/09/10	31/12/10	31/03/11
Update the Safer Ryedale website	CPO	March 2011	Green	Green	Green	
Produce a media opportunities calendar and maintain	CPO	March 2011	Green	Green	Green	
Gather community concerns and feedback via website questionnaire ie street survey	CPO		Green	Green	Green	
Provide a Safer Ryedale update at Community and Police meetings	CPO	March 2011	Green	Green	Green	
Monitor numbers of Neighbourhood Watch Co-ordinators	CPO		Green	Green	Green	
<b>Comments:</b>						
Qtr 1 – The media calendar has been produced and distributed to partners. 22 new Neighbourhood Watch Schemes have been set up taking the total number of schemes to 359.						
Qtr 2 – The bi-annual street survey has been completed in quarter 2, 410 questionnaires were completed and the results will go into the JSIA, posted on the website and a press release issued. Currently there are 369 NHW Co-ordinators in Ryedale.						
Qtr 3 – Between 1 October and 1 December four new watch schemes have been started, making a total of 48 since 1 April 2010. The Safer Ryedale website has continued to be updated and the media opportunities calendar has been updated to March 2011. NYP, NYFRS and Safer Ryedale continue to attend every CAP meeting and report back to the community on the work of Safer Ryedale.						

### KEY

**RADA** - Ryedale Against Domestic Abuse  
**CPO** - Community Partnerships Officer  
**CYP** - Children & Young People Working Group  
**CSCM** - Community Safety Crew Manager

**SNT** - Safer Neighbourhoods Team  
**CSS** - Community Safety Sergeant  
**C&DO** - Crime & Disorder Officer



By virtue of paragraph(s) 7 of Part 1 of Schedule 12A of the Local Government Act 1972.

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# **PARTNERSHIP PLAN 2011 – 2014**

## **DRAFT ACTION PLAN 2011 – 12**

Jan 2011

Awaiting actions from Safer Roads, Domestic Abuse and Alcohol Harm Reduction Task Groups.  
Community Priorities Task Group have identified their actions.

## Priority 1 Domestic Abuse

Aim: To protect and support people experiencing domestic abuse in Ryedale.

<b>Indicators:</b> NI 32 Repeat incidents of Domestic Violence	<b>Baselines &amp; Target Reduction</b> 2009/10 Reduce by 3% per year	<b>30/06/11</b>	<b>30/09/11</b>	<b>31/12/11</b>	<b>31/03/12</b>
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### Objective 1: To reduce repeat incidents of domestic violence reviewed at MARAC (Multi Agency Risk Assessment Conference)

Action	Who	When	30/06/11	30/09/11	31/12/11	31/03/12

Comments

Qtr 1 -

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### Objective 2: To deliver awareness raising and education initiatives on domestic abuse within the community.

Action	Who	When	30/06/11	30/09/11	31/12/11	31/03/12

Comments

Qtr 1 -

## Priority 2 Safer Roads

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

<b>Indicators:</b> NI 147 People Killed or Seriously Injured in road traffic accidents Percentage of respondents who perceive 'cars are driving too fast for the road, weather or area' to be a problem		<b>Baselines &amp; Target Reduction</b> (....) Reduce by ?  3 Year Average	<b>30/06/11</b>	<b>30/09/11</b>	<b>31/12/11</b>	<b>31/03/12</b>
<b>Objective 1:</b> To respond to community concerns on the dangers of excessive and inappropriate speed through the delivery of education initiatives						
<b>Action</b>	<b>Who</b>	<b>When</b>	<b>30/06/11</b>	<b>30/09/11</b>	<b>31/12/11</b>	<b>31/03/12</b>
<b>Comments:</b> Qtr 1 –						

<b>Objective 2:</b> To raise awareness of Road Safety issues via community engagement.						
<b>Action</b>	<b>Who</b>	<b>When</b>	<b>30/06/11</b>	<b>30/09/11</b>	<b>31/12/11</b>	<b>31/03/12</b>
<b>Comments:</b> Qtr 1 –						

### Priority 3 Community Priorities

Aim: To minimise the effects of crime and anti-social behaviour on the communities within Ryedale thereby contributing to a positive view of the District.

<b>Indicators:</b> NI 17 (L67) Perceptions of ASB NI 41 Perceptions of drunken rowdy behaviour as a problem Shop Theft Theft from unattended vehicles Violence	<b>Baselines &amp; Targets</b> b/l (...) target 0.5% per year b/l (...) target 0.5% per year b/l (...) target 3% over 3 years b/l (...) target 3% over 3 years b/l (...) target 5% over 3 years						
<b>Objective 1:</b> To reduce theft and violence by 10% 2011-2014							
	<b>Action</b>	<b>Who</b>	<b>When</b>	<b>30/06/11</b>	<b>30/09/11</b>	<b>31/12/11</b>	<b>31/03/12</b>
Continue Nominated Neighbour, Sheduction and Seasonal Crime Reduction Initiatives eg Expand and publicise No Cold Calling Zones	SNT						
Continue to promote Buying Time DVD on rural crime at events throughout Ryedale	Safer Ryedale Team						
Continue to promote Watch Schemes	SNT						
Re-invigorate and increase the Membership of Shop Watch in Malton and Pickering. Work with partners and businesses to prevent re-offending through Restorative Justice or Banning Orders	SNT Safer Ryedale Team						
Promote Operation Paint to decrease the number of metal thefts. Carry out regular multi agency checks by all agencies	SNT RDC						
Ensure all victims and offenders are correctly signposted to the Making Safe Scheme	Safer Ryedale Team						
<b>Comments:</b>  Qtr 1 –							

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**Objective 2:** Improve perceptions of anti-social behaviour and reduce fear of crime by publishing and responding to public priorities highlighted by the community consultation survey

Action	Who	When	30/06/11	30/09/11	31/12/11	31/03/12
Make full use of media and other publicity vehicles to achieve a minimum of 25 articles by March 2011	CPO					
Maintain an ongoing consultation process on perception of anti social behaviour by utilising the Safer Ryedale website and twice yearly street surveys to be held in February and September 2011	CPO					
Address the issue of dog fouling already identified by street surveys, through a system of robust enforcement. Link with Street Scene to identify pavement stenselling areas at the top ten areas	Street Scene/Safer Ryedale Team					
<b>Comments:</b>						
Qtr 1 –						

**Objective 3:** To target young offenders, vulnerable people and those at risk of offending through support, education and diversionary activities to reduce incidents of repeat offending.

Action	Who	When	30/06/11	30/09/11	31/12/11	31/03/12
Maintain baseline data of young offenders on ASBO, ABC and MAPS Groups	C&DO					
Ensure continuance of the MAPS Groups by close liaison with four secondary schools and attendance at all meetings	C&DO					
Continue Restorative Justice Scheme for 10-17 year olds. Report to Delivery Team on progress of scheme	SNT Commander					
To increase the number of referrals to Youth Support Service through the re-adoption of YACAB referrals	Safer Ryedale Team					
<b>Comments:</b>						
Qtr 1 –						

## Priority 4: Alcohol Harm Reduction

Aim: To deliver the contents of the Alcohol Harm Reduction Strategy for the Ryedale District.

<b>Indicators:</b> Perception of alcohol harm Violent Crime		<b>Baselines &amp; Targets</b> b/l (...) reduce 0.5% per year b/l (...) reduce 5% per year		<b>30/06/11</b>	<b>30/09/11</b>	<b>31/12/11</b>	<b>31/03/12</b>
<b>Objective 1:</b> To continue to raise awareness of the consequences to individual health and community welfare of the excessive consumption of alcohol.							
<b>Action</b>		<b>Who</b>	<b>When</b>	<b>30/06/11</b>	<b>30/09/11</b>	<b>31/12/11</b>	<b>31/03/12</b>
<b>Comments:</b> Qtr 1 –							

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<b>Objective 2:</b> To reduce the number of repeat offenders linked to alcohol related offences.							
<b>Action</b>		<b>Who</b>	<b>When</b>	<b>30/06/11</b>	<b>30/09/11</b>	<b>31/12/11</b>	<b>31/03/12</b>
<b>Comments:-</b> Qtr 1 –							



<b>Objective 3:</b> To reduce the level of alcohol related crime and disorder offences as perceived by the community						
Action	Who	When	30/06/11	30/09/11	31/12/11	31/03/12
<b>Comments:</b> Qtr 1 –						

**Partnership Development**

Aim: To encourage community participation to inform Safer Ryedale’s work.

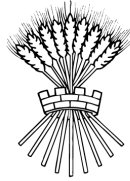
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<b>Indicators:</b>			30/06/11	30/09/11	31/12/11	31/03/12
<b>Objective 1:</b> To develop opportunities to involve the community in raising concerns, setting priorities and to receive information on Safer Ryedale’s Work						
Action	Who	When	30/06/11	30/09/11	31/12/11	31/03/12
<b>Comments:</b> Qtr 1 –						

- KEY**
- RADA** - Ryedale Against Domestic Abuse
- CPO** - Community Partnerships Officer
- CYP** - Children & Young People Working Group
- SNT** - Safer Neighbourhoods Team
- CSS** - Community Safety Sergeant

**CSCM** - Community Safety Crew Manager

**C&DO** - Crime & Disorder Officer



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<b>REPORT TO:</b>	<b>OVERVIEW AND SCRUTINY COMMITTEE</b>
<b>DATE:</b>	<b>17 FEBRUARY 2011</b>
<b>REPORT OF THE:</b>	<b>HEAD OF TRANSFORMATION CLARE SLATER</b>
<b>TITLE OF REPORT:</b>	<b>SCRUTINY REVIEWS PROGRESS REPORT – HEALTHY WEIGHT AND POST OFFICES</b>
<b>WARDS AFFECTED:</b>	<b>ALL</b>

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## **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 finalise the terms of reference for the Healthy Weight Scrutiny Review.

### **2.0 RECOMMENDATIONS**

- 2.1 That members note the progress and the dates of future meetings of the task groups.
- 2.2 That the aim of the Healthy Weight Scrutiny Review be amended to say:
  - Research levels of activity undertaken by adults aged between 16 and 25
  - Depending on the outcome of this research, to investigate practical ways the Council can help improve levels of adult participation

### **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 A recent publication issued by the Department for Business Innovation and Skills 'Securing the Post office Network in the Digital Age' stated that 'There will be no programme of post office closures under this Government'. The Department has confirmed that this statement includes outreach services which accounts for 38% of Ryedale's Post Office Services. The terms of reference were amended at the previous meeting to take this into account.

- 4.3 The inaugural meeting of the Healthy Weight Review Task Group received a presentation from the Health Improvement Manager from NHS North Yorkshire and York. This presentation clarified the current position in Ryedale and the improvements being made, it 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 parts of the country when undertaking scrutiny reviews into this area of work. At the latest Task Group meeting, it was agreed that the scope for the review should focus on adults, as it was felt there were already effective initiatives in place to tackle childhood obesity. The group thought there was a gap in knowledge in relation to adults, specifically, young adults aged between 16 and 25.
- 4.4 Action Plans are in place for each of the reviews and progress is reported at the Task Group meetings.

## **5.0 CONSULTATION**

- 5.1 A community Engagement Plan is being developed for each review

## **6.0 REPORT DETAILS**

### **6.1 Post Office Review:**

Key Points arising from previous discussions of the Task Group included:

- It is difficult to determine which services are available at each 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.
- 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.

### **Progress to date**

Post Office and Outreach Services are categorised by the services they offer, however, it is still not clear which services are provided unless customers contact the service directly or use the Post Office website.

A very productive meeting has been held with a local sub-postmaster. The sub-postmaster helped us to understand his business, the service he provides and his opinion of plans for future provision including access to services that could be provided on behalf of the Council.

Contact has been made with a Post Office Programmes Stakeholder Manager with a view to meeting with the Task Group to discuss:

- Sustaining a rural network
- The future of Ryedale's Outreach services
- The 'local model' and current pilot studies

- Local Government Services at post offices and the benefits of these in more remote branches
- Customer satisfaction with services they now receive after the closure programme and their current patterns of use

Questionnaires are being developed for approval at the next Task Group meeting which will be used to engage with general post office customers and customers of outreach services.

Actions still to be taken include:

- 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

## 6.2 Health Weight Review:

Following the presentation by Greg McGrath, Health Improvement Manager for NHS North Yorkshire and York, the Healthy Weight Task Group reviewed his recommendations and supporting evidence from the study undertaken by the Centre for Public Scrutiny. One of the key findings was, for a review to be successful; it needs to focus on a specific area.

With reference to childhood obesity in Ryedale the situation is improving and levels of 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 Task Group reviewed the issue of obesity in adults, statistically levels of adult obesity in Ryedale are the second highest in North Yorkshire (Obese adults 27.5%, Morbidly Obese adults 2.1%). These statistics from 2007 are based on synthetic estimates. Discussions around participation in sport and physical activity in Ryedale, led the group to question whether the crucial age of deciding whether to be involved in an activity or not happens after leaving school between the ages of 16-25. The Task Group concluded that this would be a beneficial area to focus on.

Actions following the meeting include:

- Investigate whether any research has been undertaken nationally around lapsed participation in sport and physical activity at this age. What are the key findings and recommendations?
- If no research has been undertaken, the Task Group felt it would be beneficial to undertake this research in Ryedale.
- Depending on the outcomes of this research, the Group could investigate practical ways the Council can help improve adult participation across all age groups.

## 7.0 DATES OF NEXT MEETINGS

Post Office Scrutiny Review Task Group - 28 February 2011, 6.30pm, Ryedale House

Healthy Weight Scrutiny Review Task Group - 28 February 2011, 7.30pm Ryedale House

**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  
Study of Childhood Obesity Scrutiny Reviews by the Centre for Public Scrutiny  
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

<b>Aim of the Review</b>	<p>To find practical ways by which Ryedale DC and its partners can:</p> <ul style="list-style-type: none"> <li>• Improve the availability of services in local communities.</li> <li>• Provide an evidence base from which to influence future changes or reductions in levels of service</li> <li>• To consider the options for delivering these services in future</li> </ul>
<b>Why has this review been selected?</b>	<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>
<b>Who will carry out the review?</b>	<p>The review will be carried out by a task group including:</p> <ul style="list-style-type: none"> <li>• A minimum of 2 members of the O and S committee (but open to all)</li> <li>• The Head of Transformation</li> <li>• The Customer Services and Benefits Manager</li> <li>• Support will be provided by members of the Transformation Team</li> </ul>
<b>How the review will be carried out?</b>	<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"> <li>• Sub-postmasters engaged in a range of delivery methods</li> <li>• Service users interviewed at a variety of locations utilising different delivery methods</li> </ul> <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>
<b>What are the expected outputs?</b>	<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>
<b>Timescale</b>	<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

<b>Aim of the Review</b>	<p>To find practical ways by which Ryedale DC and its partners can:</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Improve responses to existing obesity, helping people to lose weight and live healthier lives</li> <li>• Achieve improvements within the current challenging public sector funding climate</li> <li>• 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</li> </ul>
<b>Why has this review been selected?</b>	<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>
<b>Who will undertake the review?</b>	<p>The review will be carried out by a task group including:</p> <ul style="list-style-type: none"> <li>• A minimum of 2 members of the O and S committee (but open to all)</li> <li>• The Head of Transformation</li> <li>• A representative of the Ryedale Healthy Weight Active Lives group</li> <li>• A representative from the Primary Care Trust.</li> <li>• Support will be provided by members of the Transformation Team</li> </ul>
<b>How will the review be undertaken?</b>	<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"> <li>• 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.</li> <li>• The second stage will involve an in-depth review of key issues and evidence gathering in order to inform the task group recommendations.</li> </ul> <p>Evidence gathering sessions will be open to the public.</p>
<b>What are the expected outputs?</b>	<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>
<b>Timescale</b>	<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>



Ryedale District Council – Decisions taken by the Commissioning Board on Thursday, 27 January 2011

Agenda Item No	Topic	Decision
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**Part A – Items considered in public**

1	Apologies for Absence	There were no apologies for absence.
2	Minutes of Meeting held on 8 December 2010	<p>The minutes of a meeting of the Commissioning Board held on 8 December 2010 (previously circulated) were presented.</p> <p><b>Resolved</b></p> <p>That the minutes of a meeting of the Commissioning Board held on 8 December 2010 be approved and signed by the Chairman as a correct record.</p>
3	Minutes of the Joint Commissioning Group Housing & Economy Meeting held on 12 January 2011	<p>The minutes of a meeting of the Joint Commissioning Group - Housing &amp; Economy held on 12 January 2011 (previously circulated) were submitted.</p> <p><b>Resolved</b></p> <p>That the minutes of a meeting of the Joint Commissioning Group – Economy &amp; Housing be approved and signed by the Chairman as a correct record subject to the addition of Les Clarke in the list of Officers present.</p>
4	Declarations of Interest	There were no declarations of interest
5	Urgent Business	The Chairman reported that there were no items of urgent business to be considered.
6	North Yorkshire Customer Insight Project Presentation by Simon Dickinson, Aperia Ltd	<p>The Chairman welcomed to the meeting Simon Dickinson from Aperia Ltd who gave a presentation on the North Yorkshire Customer Insight Project.</p> <p>The project was being undertaken through the North Yorkshire Connect Partnership, involving the County Council, District Councils, and Health, Police and Fire Services and was focused on access to services by older people. Workshops had been held in Scarborough, Harrogate and</p>

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		<p>Hambleton and the presentation highlighted problems encountered by elderly people in accessing services due to the many different sources of information and the number of forms to be filled in.</p> <p>Phase II of the project was to be a pilot scheme in Ryedale and Scarborough.</p> <p>The Chairman thanked Mr Dickinson for his presentation and he left the meeting at 7.05pm.</p>
7	Housing Initiatives	<p>The Head of Economy and Housing submitted a report (previously circulated) giving details of the following proposals to help address housing needs in Ryedale</p> <ul style="list-style-type: none"> <li>• Partnership arrangements to continue the Rural Housing Enabler activity in Ryedale beyond September 2011</li> <li>• The appointment of a new Housing Development Officer to maximise delivery of affordable housing in Ryedale</li> <li>• Investigations into a new build facility to provide supported accommodation for homeless younger people in Ryedale</li> <li>• To agree the area of Housing activity to be considered next through the commissioning process</li> <li>• The extension of the Ryedale Mortgage Rescue Scheme to 2013.</li> </ul> <p>Each of the proposals were discussed in detail and it was reported that information received since despatch of the agenda indicated that funding would be available for a shared Ryedale-Scarborough Rural Housing Enabler via the existing sub-regional partnership arrangements to the end of March 2012, as opposed to the September 2011 cut-off referred to in the report.</p> <p><b>Resolved</b></p>

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		<p>That the report be received and that:</p> <ul style="list-style-type: none"> <li>(i) the use of existing budgets to fund a Rural Housing Enabler post, shared between Ryedale District Council and Scarborough Borough Council, to replace existing sub-regional arrangements when these discontinue, and the creation of a new Housing Development officer post be noted</li> <li>(ii) the extension of the Ryedale Mortgage Rescue Scheme, utilising the funding allocated in the Capital Programme, to cover the period up to 31 March 2013 be endorsed</li> <li>(iii) the investigation of a partnership project to create a new build facility to provide supported accommodation for younger homeless people in Ryedale be endorsed</li> <li>(iv) the publicly-funded support for private sector housing and meeting the housing needs of the elderly be the subject of the next commissioning exercise by the Economy and Housing Joint Commissioning Group.</li> </ul>
8	Tourism Commissioning Recommendations	<p>The Head of Economy and Housing submitted a report (previously circulated) updating Members on the progress of the Housing and Economy Joint Commissioning Group activity in regard to the commissioning of tourism services and outlining the concluding recommendations.</p> <p>Members were reminded that, at a meeting of the Commissioning Board held on 2 November 2010, the following principles had been agreed:</p> <ul style="list-style-type: none"> <li>• It is desirable to maintain a meaningful tourism delivery service</li> <li>• The service can be delivered in a variety of ways; working in partnership,</li> </ul>

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		<p>commissioning some targeted services and stopping delivery of other tourism functions, which are not a high priority</p> <ul style="list-style-type: none"> <li>• The tourism service should be seen as an economic development function – to meet the Council’s aims in terms of economic prosperity and to deliver jobs, skills and creating the right conditions for economic prosperity. Tourism businesses should be encouraged to participate in current business liaison activity such as the Work and Skills Partnership and Local Enterprise Partnership development</li> <li>• The tourism service should address areas of market failure – where the private sector is not able to drive its own service delivery</li> <li>• All activity should take place in partnership with the private sector</li> <li>• In these times of challenge for public sector budgets, service delivery should be targeted at areas in most need of economic development support. In terms of the Ryedale Needs Assessment, this identifies the Wolds area of Ryedale as a priority</li> <li>• The tourism service should be flexible to adapt to changing nature of public and private expenditure</li> </ul> <p>The report set out in detail issues and recommendations relating to the following:</p> <ul style="list-style-type: none"> <li>• Tourism Marketing</li> <li>• Destination Management System</li> <li>• Holiday and Attractions Guide</li> <li>• Product Development</li> <li>• Tourist Information Centres (TICs)</li> <li>• Malton TIC</li> <li>• Pickering TIC</li> <li>• Helmsley TIC</li> <li>• Engagement with the private sector</li> </ul>
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Ryedale District Council – Decisions taken by the Commissioning Board on Thursday, 27 January 2011

Agenda Item No	Topic	Decision
		<p>The report was discussed in detail and it was</p> <p><b>Resolved</b></p> <p>That the report be received and that the recommendations for the tourism commissioning exercise be approved to enable procurement of the service for 2011/12, specifically:</p> <ul style="list-style-type: none"> <li>(i) To commission the Welcome to Yorkshire (WTY) North Yorkshire 'branch office' based at Scarborough Borough District Council (SBC) tourism unit to work with the private sector to market the Ryedale area nationally and internationally</li> <li>(ii) To commission 'Visit Hull and East Yorkshire' (VHEY) to market the Wolds area of Ryedale</li> <li>(iii) To commission Tourism Association North Yorkshire (TANY) to arrange production, advertisement, distribution and fulfilment of the annual (2012) printed holiday accommodation and attractions guide covering the Ryedale area</li> <li>(iv) To maintain a budgetary provision for product development</li> <li>(v) To establish a working group with private sector partners to identify and implement such proposals as improve the efficiency and reduce the cost base of the TIC network</li> <li>(vi) To co-locate Malton TIC with Malton Library from Christmas 2011</li> <li>(vii) To maintain a partnership arrangement for the operation of the TIC facility in Helmsley. For 2011/12 this was to be in partnership with English Heritage and to investigate the option of a co-location with Helmsley Library for the future</li> </ul>

Ryedale District Council – Decisions taken by the Commissioning Board on Thursday, 27 January 2011

Agenda Item No	Topic	Decision
		<p>(viii) To reconvene the Tourism Advisory Group as a forum for ongoing consultation with the private sector</p> <p>(ix) To convene a further meeting with partners and providers to feedback the outcomes of the process and to further discuss with them the issue of quality assessments.</p>
9	Progress Report from Joint Commissioning Groups - Active & Environment Group	<p>The Head of Environment submitted for information a report (previously circulated) updating Members on the progress of the Active and Environment Joint Commissioning Group regarding the development of a Sport and Active Leisure Strategy.</p> <p><b>Resolved</b></p> <p>That the report be noted.</p>
10	Sustainable Communities Act - An invitation to inspire the Big Society	<p>The Head of Transformation submitted a report (previously circulated) informing members of the latest invitation to submit proposals under the terms of the Sustainable Communities Act 2007, suggesting options for the approach the Council could take to responding to this invitation and giving details of progress made with the proposals submitted by the Council in response to the previous invitation made in October 2008.</p> <p>The report summarised the requirements of the Sustainable Communities Act 2007 and the action taken by local authorities in connection with implementation of the Act.</p> <p>On 15 December 2010 the Government fulfilled the requirement placed upon it by the Sustainable Communities Act 2007 (Amendment) Act 2010 to announce a further round by writing to all local authority Leaders and Chief Executives with an invitation to 'inspire the Big</p>

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		<p>Society'. The full content was appended to the report now submitted.</p> <p>The report gave details of the changes made to the regulations relating to the invitation, together with options for issuing the invitation to the community and for engaging communities in proposals received by the Council.</p> <p><b>Resolved</b></p> <p>That the report be received and that</p> <p>(i) the Council issues the invitation to communities to submit proposals under the Sustainable Communities Act 2007 using the Council's website, with a promotional campaign using a variety of media</p> <p>(ii) officers work in partnership with the other councils in North Yorkshire to engage communities in the development of any proposals received and to submit these in partnership with other councils where this will strengthen the proposal.</p>
11	Any other business that the Chairman decides is urgent	There being no other business, the meeting closed at 8.35pm
12	Dates of Next Meetings	<p>It was noted that the next meeting of the Active and Environment Group had been scheduled for Thursday 3 February 2011 at 6pm. The Committee was reminded that all Members were invited to the Budget Meeting of the Policy &amp; Resources Committee, which was to take place the same evening at 6.30 pm. Members resolved to move the meeting of the Active and Environment Group to 5.00 pm.</p> <p><b>Date of Publication – 9 February 2011</b></p> <p><b>Implementation Date for Decision – 23 February 2011</b></p>

Ryedale District Council – Decisions taken by the Commissioning Board on Thursday, 27 January 2011

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**Ryedale District Council – Decisions taken by the Policy and Resources Committee on Thursday, 3 February 2011**

Agenda Item No	Topic	Decision
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**Part A – Items considered in public**

1	Apologies for absence	Apologies for absence were received from Councillors Mrs Burr, Legard, Mrs Hodgson and Hope.
2	Urgent Business	The Chairman reported that there were no items of urgent business to be considered at the meeting.
3	Declarations of Interest	No declarations of interest were received.
4	Financial Strategy 2011/2012	<p>The Corporate Director (s151) submitted a report, which set out the budget for 2011/12, a proposed Council Tax level, the Financial Strategy, details of balances and reserves and the indicators under the Prudential Code for capital finance as required by the Local Government Act 2003.</p> <p>The report recommended that the Council approve:</p> <ul style="list-style-type: none"> <li>(i) the Council’s Financial Strategy, attached at Annex A to the report, which includes: <ul style="list-style-type: none"> <li>(a) the prudential indicators</li> <li>(b) the revised Capital Programme</li> <li>(c) Savings/additional income totalling £1,127k</li> <li>(d) Investment in Priorities of £80k</li> </ul> </li> <li>(ii) a Revenue Budget for 2011/2012 of £7,365,930, which represents no increase in the Ryedale District Council Tax of £176.72 for a Band D property (note that total Council Tax, including the County Council, Fire and Police is covered within the separate Council</li> </ul>

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		<p>Tax setting report to Full Council)</p> <p>(iii) approve the special expenses amounting to £48,230</p> <p>(iv) Members note the financial projections for 2012/2013 and authorise officers to continue to maximise efficiencies through service reviews, income generation and shared services.</p> <p>(v) That the additional government grant of £25K announced in the final settlement be allocated to the following:</p> <table data-bbox="913 823 1839 890"> <tr> <td>Investment in Community Winter Weather Equipment</td> <td>£20K</td> </tr> <tr> <td>Parish Planning Support</td> <td>£5K</td> </tr> </table> <p>Members were reminded that at its meeting held on 4 November 2010 Council had approved a budget strategy with the following parameters:</p> <ul style="list-style-type: none"> <li>• Proposals be brought forward for a 2.5% increase in Council Tax</li> <li>• Increases in fees and charges to be 3.5% to 4.5% on a cost centre heading basis excluding VAT and only those charges Officers recommend above or below this figure to be considered by the relevant policy committee</li> <li>• Efficiencies to be maximised and identified together with any potential cuts required to services once the draft grant settlement is announced in November/December. These proposals to be considered by the Resources Working Party.</li> </ul> <p>Details of the action taken and savings proposals had been presented to the Resources</p>	Investment in Community Winter Weather Equipment	£20K	Parish Planning Support	£5K
Investment in Community Winter Weather Equipment	£20K					
Parish Planning Support	£5K					

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		<p>Working Party on 23 November 2010 and 11 January 2011, and all Members had been consulted at the Members' Budget Briefing on 19 January 2011.</p> <p>Budget consultation with the public had taken place through the Budget Simulator and a summary of the results was included with the report.</p> <p>The Financial Strategy set out in detail the Council's financial position in the medium term, including issues around the Local Government Finance Settlement and efficiencies, as well as the principles and procedures adopted by the Council to manage its finances to a high standard.</p> <p>Monitoring of the 2010/2011 budget had taken place through Group Leaders, the Resources Working Party and the monitoring reports presented to the Policy &amp; Resources Committee.</p> <p>The report set out in detail the following:</p> <ul style="list-style-type: none"> <li>• Budget and Council Tax for 2011/12</li> <li>• Capital Programme</li> <li>• Special Expenses</li> <li>• National Non Domestic Rates (NNDR)</li> <li>• Prudential Code</li> <li>• Funds and Reserves</li> <li>• The 2012/2013 Budget Strategy</li> <li>• Local Government Act 2003 – Section 25 Report</li> </ul> <p>The Corporate Director (s.151) drew Members' attention to the receipt of additional government grant of £25K in the final settlement that had been announced since despatch of the agenda. It</p>

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		<p>was proposed that these monies be used for investment in Community Winter Weather Equipment and for Parish Planning support. Members' welcomed the proposal.</p> <p><b>Resolved</b></p> <p>That Council be recommended to approve:</p> <ul style="list-style-type: none"> <li>(i) the Council's Financial Strategy, attached at Annex A to the report, which includes: <ul style="list-style-type: none"> <li>(a) the prudential indicators</li> <li>(b) the revised Capital Programme</li> <li>(c) Savings/additional income totalling £1,127k</li> <li>(d) Investment in Priorities of £80k</li> </ul> </li> <li>(ii) a Revenue Budget for 2011/2012 of £7,365,930, which represents no increase in the Ryedale District Council Tax of £176.72 for a Band D property (note that total Council Tax, including the County Council, Fire and Police is covered within the separate Council Tax setting report to Full Council)</li> <li>(iii) the special expenses amounting to £48,230</li> <li>(iv) Members note the financial projections for 2012/2013 and authorise officers to continue to maximise efficiencies through service reviews, income generation and shared services.</li> </ul>
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**Ryedale District Council – Decisions taken by the Policy and Resources Committee on Thursday, 3 February 2011**

Agenda Item No	Topic	Decision				
		(v) That the additional government grant of £25K announced in the final settlement be allocated to the following:  <table border="0" style="width: 100%;"> <tr> <td style="width: 80%;">Investment in Community Winter Weather Equipment</td> <td align="right">£20K</td> </tr> <tr> <td>Parish Planning Support</td> <td align="right">£5K</td> </tr> </table>	Investment in Community Winter Weather Equipment	£20K	Parish Planning Support	£5K
Investment in Community Winter Weather Equipment	£20K					
Parish Planning Support	£5K					
5	Any other business that the Chairman decides is urgent.	There being no other business the meeting closed at 7.10pm				

Date of Publication – 9 February 2011  
Implementation Date for Decision - 23 February 2011

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