



Please reply to:

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Date: 11 July 2017

Notice of meeting

Cabinet

Date: Wednesday, 19 July 2017

Time: 7.00 pm

Place: Goddard Room, Council Offices, Knowle Green, Staines-upon-Thames

The members of the Cabinet	Cabinet member areas of responsibility
I.T.E. Harvey (Leader)	Leader and Council Policy co-ordination
A.C. Harman (Deputy Leader)	Deputy Leader
M.M. Attewell	Community Wellbeing
C.B. Barnard	Planning and Economic Development
M.P.C. Francis	Housing
N.J. Gething	Environment and Compliance
A.J. Mitchell	Corporate Management
O. Rybinski	Customer Service, Estates and Transport
H.R.D. Williams	Finance and Customer Service

Spelthorne Borough Council, Council Offices, Knowle Green

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AGENDA

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- 1. Apologies for absence**
To receive any apologies for non-attendance.
- 2. Minutes** **5 - 12**
To confirm the minutes of each of the following meetings as a correct record:

 1. Cabinet – 21 June 2017
 2. Extraordinary Cabinet – 13 July 2017 (to follow)
- 3. Disclosures of Interest**
To receive any disclosures of interest from councillors in accordance with the Council's Code of Conduct for members.
- 4. Recommendation of the Audit Committee on Corporate Risk Management** **13 - 26**
Councillor Williams
To consider the recommendation of the Audit Committee on Corporate Risk Management.
- 5. Play and refreshment facilities at Lammas recreation ground - Key Decision** **27 - 30**
Councillor Gething
To consider options for play and refreshment facilities at Lammas recreation ground in Staines-upon-Thames.
- 6. Members' Allowances Scheme 2017-2018** **31 - 44**
Councillor Harvey
To consider the recommendations of the Independent Remuneration Panel on the Members' Allowances Scheme 2017-2018 and recommend the amended scheme to Council.
- 7. Appointment of representatives to Outside Bodies and Working Groups 2017/18** **45 - 46**
Councillor Harvey
To consider the appointment of representatives to an outside body and a working group for 2017/18. (The nominations will be circulated at the meeting).

8. Leader's announcements

To receive any announcements from the Leader.

9. Urgent items

To consider any items which the Chairman considers as urgent.

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Minutes of Cabinet

21 June 2017

Present:

Councillor I.T.E. Harvey, Leader and Council Policy co-ordination
Councillor A.C. Harman, Deputy Leader and Towards a Sustainable Future
programme (TaSF)
Councillor M.M. Attewell, Community Wellbeing
Councillor C.B. Barnard, Planning and Economic Development
Councillor M.P.C. Francis, Housing
Councillor N.J. Gething, Environment and Compliance
Councillor O. Rybinski, Customer Service, Estates and Transport
Councillor H.R.D. Williams, Finance and Customer Service

Apologies:

Councillor A.J. Mitchell, Corporate Management

Councillors in attendance:

Councillor A. Sapunovas
Councillor R.W. Sider BEM

2381 Minutes

The minutes of the Cabinet meeting held on 11 May 2017 were agreed as a correct record.

The minutes of the Extraordinary meeting held on 2 June 2017 were agreed as a correct record.

2382 Disclosures of Interest

There were none.

2383 Contaminated Land Inspection Strategy - Key Decision

Cabinet considered a report on adopting a new Contaminated Land Inspection Strategy.

The report explained that local authorities have a legal duty to inspect their areas for contaminated land. Where contaminated land is found, the Council must identify the appropriate persons responsible for cleaning-up the contamination, specify the works to be done and the periods within which the work has to be carried out.

Alternative options considered and rejected by the Cabinet:

- Maintain existing strategy.

Resolved to adopt the Council's new Contaminated Land Inspection Strategy.

Reason for the decision:

Statutory guidance recommends that local authorities review and update their strategies every five years to take account of changes in legislation and statutory guidance. The proposed new contaminated strategy takes these changes into account.

2384 Provisional Capital Outturn Report 2016/17

Cabinet considered a report on the provisional capital outturn spend for 2016-17.

Resolved that Cabinet notes the contents of the report.

2385 Provisional Revenue Outturn 2016/17

Cabinet considered a report on the provisional revenue outturn for 2016-17.

Resolved that Cabinet notes the contents of the report.

2386 Treasury Management Strategy Annual report

Cabinet considered the Treasury Management Annual Report for 2016-17.

Resolved that Cabinet notes the contents of the report.

2387 Telecare and SPAN funding

Cabinet considered a report on funding arrangements for Telecare and the Spelthorne Personal Alarm Network (SPAN).

The report explained the key changes between the previous agreement and new funding agreements with Surrey County Council.

Alternative options considered and rejected by the Cabinet:

12 week free trial

- Reduce the 12 week free trial to 6 weeks;
- No change to current free trial service.

Telecare

- Cease to provide telecare equipment;
- Continue to provide telecare equipment with no charge to the client.

Resolved to:

1. Agree 12 week free alarm service following an overnight hospital stay in the last 4 weeks;
2. Agree to use the money set aside from the Council Tax increase 2016-17 which was ring fenced for Independent Living services to support the telecare service (likely to be in the region of £34,518);
3. Delegate authority to agree telecare pricing structure to the Group Heads for Community Wellbeing in consultation with the Portfolio Holder.

Reason for the decision:

To allow the alarm and telecare service provided by Spelthorne to consider future charging options.

2388 Adoption of Spelthorne's Corporate Health and Safety Policy

Cabinet considered a report on the adoption of the Spelthorne Corporate Health and Safety Policy.

The report explained that the Health and Safety at Work Act 1974 places a legal requirement on all organisations to assess and control the risks to the health safety and welfare of employees and the public that arise from the activities associated with the organisation.

Alternative options considered and rejected by the Cabinet:

- To recommend amendments to the policy;
- Not to adopt the policy.

Resolved to:

1. Adopt the corporate Health and Safety Policy;
2. Authorise the Chief Executive to agree minor variations to the adopted Health and Safety Policy.

Reason for the decision:

To safeguard the health, safety and welfare of staff, the public and its members.

2389 Appointments to Outside Bodies 2017/18

Cabinet considered a report on the proposed appointments of representatives to Outside Bodies and Working Groups for 2017-18.

Resolved that Cabinet appoints representatives to Outside Bodies and Working Groups for 2017-18 as shown in Appendix A of the report.

2390 Leader's announcements

The following are the latest service updates from various Council departments.

A flotilla of boats will sail from Sunbury Lock to Staines-upon-Thames led by the Queen's rowbarge Gloriana in celebration of the Mayor of Spelthorne's River Day on Saturday 24 June. Gloriana will be joined by the Impossible Dream, a specially adapted wheelchair friendly motorboat which has been chosen as one of the Mayor's charities, and the Jolly Brit, the former tender to the Royal Yacht Britannia. Local rowing clubs and schools will also join the flotilla. Residents have been invited to come along, enjoy the entertainment, and help raise money for local good causes.

The Staines Business Improvement District (BID) went live on 1 April. It will run for an initial five year period after which another vote will be taken to decide whether the BID should continue for a further five years. The BID has

attracted more funding through the levy than first thought, with £399K being collected annually. The BID commissioned the Queen's Row barge Gloriana to be part of the celebrations at the Staines-upon-Thames Day.

The Community Safety Partnership has now acquired two portable CCTV cameras which can be deployed in response to complaints regarding fly-tipping or anti-social behaviour.

The final of the Spelthorne Business Plan Competition was held on 25 May at BP's headquarters in Sunbury-on-Thames. Six finalists pitched in a Dragons' Den style final for a prize of £3,500 and a year's package of business support. The winners were George Goodger and Adam Wright with their invention Cillguard, a unique product for wheelchair users which prevents their cars from being scratched when transferring in and out of cars. Second place and a prize of £1,500 went to Danielle Pauling, Clare Pauling and Amanda Hadley for a family business idea called Grave Angels. Third place and £500 was awarded to Kirsti McCabe for her web based business idea 'The Routine Edit.'

The Council's Neighbourhood Services team has installed electric vehicle charging points at two of the car parks in Staines-upon-Thames. Six individual 7kW charging bays have been installed at Elmsleigh multi-storey car park and a dual 3.6kW charger which can charge two cars simultaneously at Tothill multi-storey. The charging bays are free to use and customers simply download an app to get started.

Spelthorne residents and housing register applicants are being asked for their views on changes to the way that social housing is allocated. The Council currently shares an allocations policy with Elmbridge Borough Council and local housing associations and some applicants can move areas under this policy. In the future however, the Council plans to adopt a single borough approach and to give reduced priority to social housing tenants who have other options available through their housing association landlords. The consultation ends Friday 30 June. Visit www.spelthorne.gov.uk/housing-survey

Plans are underway for this year's schools citizenship events in the autumn term. The Junior Democracy event in October and Senior Schools' Parliament event in November will both feature presentations and workshops delivered by the Education service from the Houses of Parliament. Pupils will learn about local and national government and have the chance to ask the Mayor a range of questions. Spelthorne MP Kwasi Kwarteng will again be invited to act as Speaker during the Senior Schools "House of Commons" debate.

Recent recipients of Spelthorne's Better Neighbourhood Grants include Sunbury & Shepperton Arts Association – towards their annual festival; Rentstart for a new PC; Dementia Friendly Shepperton for publicity t-shirts and St Paul's College, Sunbury, to support their student forum. There is still more than £32,000 in the kitty for Councillors to spend in their neighbourhoods.

Staff from Surrey Police, Spelthorne Borough Council and Surrey County Council joined together for a 'Partnership Action Day' in Shepperton on Wednesday 17 May. During the day a number of fly-tips were identified, an abandoned car was removed, four people were reported for vehicle offences and one owner had their car seized for having no insurance. The next Partnership Action Day will be held in various locations on 18 July.

Visitors from the Borough's twin town in Mauritius stopped off at Shepperton Village Hall to help mark Dementia Awareness Week during a tour of the area on 16 May. Shepperton is the first town in the Borough to pledge its commitment to become 'dementia-friendly'. This involves training for shop staff in how to help customers who might have dementia; better signage to make it easier to get around; social and support groups for patients and carers; practical measures to help make life less stressful. More events are planned.

Cllr Vivienne Leighton got runners underway at the Staines 10K on Sunday 14 May. A record number of runners (633) completed the course with the winner, Stuart MacDougall, finishing in a time of 35 minutes and 24 seconds. The women's race was won by Jaydee Peters who completed the course in 39 minutes and 17 seconds and finished 18th overall.

2391 Urgent items

There were none.

2392 Exempt Business

Resolved to move the exclusion of the Press and Public for the following item in view of the likely disclosure of exempt information within the meaning of Part 1 of Schedule 12A to the Local Government Act 1972, as amended by the Local Government (Access to Information) Act 1985 and by the Local Government (Access to information) (Variation) Order 2006.

2393 *Exempt Report - Request for supplementary capital estimate to purchase grounds maintenance equipment - Key Decision

Cabinet considered an exempt report that requested grounds maintenance be brought back in-house and sought approval of a supplementary capital estimate for the purchase of machinery.

Alternative options considered and rejected by the Cabinet:

- Hire or lease the equipment;
- Do nothing.

Resolved to:

1. Agree that following the mutual termination of the grounds maintenance contract that the service be brought in-house as the most efficient, effective and economic way of providing a service to the Borough's residents;

2. Recommend to Council a supplementary capital estimate of £500k for the purchase of machinery, plant & vehicles to be used for maintenance and servicing of parks and open spaces.

Reason for decision

Capital purchase is the financially sustainable option for acquisition of vehicles and machinery. Purchasing through a framework will ensure that the correct procurement process is followed and delivery timescales are met.

NOTES:-

- (1) ***Members of the Overview and Scrutiny Committee are reminded that under Overview and Scrutiny Procedure Rule 16, the “call-in” procedure shall not apply to recommendations the Cabinet makes to the Council. The matters on which recommendations have been made to the Council, if any, are identified with an asterisk [*] in the above Minutes.***
- (2) ***Members of the Overview and Scrutiny Committee are entitled to call in decisions taken by the Cabinet for scrutiny before they are implemented, other than any recommendations covered under (1) above.***
- (3) ***Within five working days of the date on which a decision of the Cabinet or a Cabinet Member is published, not less than three members [one of whom must be the Chairman] of the Overview and Scrutiny Committee are able to "call in" a decision;***
- (4) ***To avoid delay in considering an item "called in", an extraordinary meeting of the Overview and Scrutiny Committee will be convened within seven days of a "call in" being received if an ordinary meeting is not scheduled in that period;***
- (5) ***When calling in a Cabinet decision for review the members doing so should in their notice of "call in":-***
 - ***Outline their reasons for requiring a review;***
 - ***Indicate any further information they consider the Overview and Scrutiny Committee needs to have before it in order to conduct a review in addition to the written report made by officers to the Cabinet;***
 - ***Indicate whether, where the decision was taken collectively by the Cabinet, they wish the Leader or his nominee (who should normally be the Cabinet Member) or where the decision was taken by a Cabinet Member, the member of the Cabinet making the decision, to attend the committee meeting; and***

- ***Indicate whether the officer making the report to the Cabinet or the Cabinet Member taking the decision or his/her representative should attend the meeting.***
- (6) ***The deadline of five working days for "call in" by Members of the Overview and Scrutiny Committee in relation to the above decisions by the Cabinet is the close of business on 30 June 2017.***

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RECOMMENDATION FROM THE AUDIT COMMITTEE CORPORATE RISK MANAGEMENT

Cabinet: 19 July 2017

Report of the Audit Committee

- 1.1 The Council's Risk Management Policy/Strategy was approved by the Executive in 2002.
- 1.2 The Audit Committee is responsible for considering the effectiveness of the authority's risk management arrangements, and receives regular reports on risk issues.
- 1.3 The Audit Committee reviewed the revised Corporate Risk Register (attached) at its meeting on 22 June 2017 and noted and accepted the contents.
- 1.4 The Committee noted that two risks continued to be rated as red – the Code of Corporate Governance and Procurement – and requested more detailed updates on these issues for consideration at its next meeting.
- 1.5. The revised register is considered to be an accurate reflection of the high level risks affecting the Authority, as well as the progress made on actions previously proposed, based on our assessment of risk and controls in operation.

Audit Committee Recommendation

The Audit Committee recommends to the Cabinet:

That the Corporate Risk Register, as submitted, be approved.

Contact: Punita Talwar, Internal Audit Manager

Cabinet member: Councillor Howard Williams

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APPENDIX 1

CORPORATE RISK REGISTER

This register summarises the Councils most significant risk. It sets out controls in place and identifies any further action needed to mitigate risks. Actions are assigned to appropriate officers with target dates for implementation.

Level of risk: Likelihood vs. Impact on a scale of 1 (lowest) to 4 (highest)

Content reviewed June 2017 by the Internal Audit Manager

PREVIOUS RAG (SEP)	CURRENT RAG (MAR)	RISK / CONSEQUENCES	LIKELIHOOD OF RISK	IMPACT OF RISK	LEVEL OF RISK (to evaluate)	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	TARGET DATE	PROGRESS /REASONS WHERE NOT IMPLEMENTED
		1. Health and Safety failing resulting in death or serious injury to staff /public and legal action against the Council	2	4	4	Policies and SHE (Safety Health and Environment) system .The Health and Safety, Insurance and Risk Administrator manages the SHE Database, overseen by the Health and Safety, Insurance and Risk Manager. Managers have a legal requirement to conduct regular risk assessments. Induction training. Annual reminders have been introduced to encourage all employees to complete/update health and safety risk assessments (DSE, Homeworking, and Service). The SHE system is being used to ensure that automatic reminders are set for completion and renewal of risk assessments. Annual health and Safety checklist and compliance programme for Managers communicated at a Manager's Briefing in December 2016. Personal Safety Training provided and Lone Worker protection process being pursued. Safety Champions	<i>1i. Recommendations raised in an Internal Audit review of January 2017 are being pursued . There is scope to tighten up controls relating to training and the 2017 Management activity/compliance programme 1ii. The inspection process across the authority needs to made more robust - regular inspections to be carried out and consistently documented to ensure evidence is available. (NEW)</i>	HSIRM/ SEHM/ MAT/ All Group Heads *	31 August 2017 *R Requires Monitoring	1i. Progress on key recommendations is set out below: <ul style="list-style-type: none"> The Health and Safety Policy has been updated and will go onto Cabinet for adoption on the 21 June 2017. (Implemented) The Health and Safety Officer has developed an annual rolling plan of actions and activities for Managers such as conducting annual risk assessments and inspections. To ensure the delivery of the annual rolling plan, Champions for Health and Safety have been identified in each Service area to implement the necessary actions. The Health and Safety Officer is in the process of arranging training sessions for all staff on the use of SHE. These will take place through June and July. The Managers and Team Leaders Guide to Health and Safety will (once completed) include instructions for the use of SHE
		2. Uncertainty surrounding the financial /economic/other consequences of contaminated land. Legal action against the Council.	2	4	4	Legal duty to inspect land and prioritise action. Documented records of all site investigations and assessments held. A separate risk assessment is held which is reviewed regularly. Reports periodically issued to Management Team and Cabinet.	<i>2.The Contaminated Land Strategy to be finalised and approved by Cabinet (June 2017).</i>	SEHM*	30 June 2017 *R Completed/ Ongoing Monitoring	Contaminated land risk assessment was reviewed in November 2016, with the next review due November 2018, or sooner if need be. The contaminated land strategy has been prepared and is due to go to Cabinet for adoption in June 2017.
		3. Disaster- major in borough, e.g. flooding, resulting in significant strain on council services	2	4	4	Corporate Emergency Plan updated January 2016. Multi- agency flood plan completed December 2015. Function being delivered via the Mutual Applied Resilience Service. Membership of Local Resilience Forum (LRF). Regular testing of Emergency Assistance Centre plan. Borough Emergency Centre Plans.Improvements made to the Business Emergency Centre (BEC) by ICT. Incident management training and exercising. The two DCX's have attended Multi-Agency Gold Command Courses. Emergency Response requirements remain the responsibility of the authority. Contract agreement in place with Applied Resilience, with increased resilience and support for Emergency Planning. Prevent Strategy training,	<i>3. Monitoring the agreement with Applied Resilience should incorporate specific targets and expected outcomes in order to measure actual performance. Monitoring needs to be meaningful and clearly evidenced.</i>	CX (RT)/ GH C & T*	31st August 2017 (R*). Requires Monitoring	Audit Services have held discussions with Group Head for Commissioning and Transformation regarding the importance of monitoring the agreement with Applied Resilience. As part of the Governments Prevent Strategy relating to Counter Terrorism, Applied Resilience have provided training to front line officers as well as an awareness briefing session at a recent Corporate staff meeting (March 2017).

SPELTHORNE BOROUGH COUNCIL - CORPORATE RISK REGISTER
2015/16 QUARTER 1

PREVIOUS RAG (SEP)	CURRENT RAG (MAR)	RISK / CONSEQUENCES	LIKELIHOOD OF RISK	IMPACT OF RISK	LEVEL OF RISK (to evaluate)	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	TARGET DATE	PROGRESS /REASONS WHERE NOT IMPLEMENTED
		4. Failure to manage corporate and service performance / failure to meet Council objectives and targets (Performance Management)	2	3	3	The Corporate Plan sets out targets for the authority which should be monitored by Members and Management Team. Service performance should be monitored by Management Team. Individual performance should be monitored through the appraisal process. Flagship project performance is reported to Management Team and Members. Performance Management Working Group has been established to improve monitoring arrangements. Revised Corporate Plan approved and publicised.	<i>4i. An internal audit review conducted in October 2016 identified scope for improvement including re-establishing annual performance reviews of Service Plans, ensuring a clear Service Plan guideline and timetable is communicated, scheduling performance indicator returns into the Cabinet forward plan, scope to make some existing performance indicator's more meaningful and improved monitoring of the staff appraisal process. A number of positive steps have been since taken.</i>	MAT / DCX LO/GH C & T	31 August 2017 * Requires Monitoring	See also risk category 5 below. Service Planning timetable issued together with revised templates for the 17/18 Service Planning and Annual Performance review process. Quarterly reporting takes place on performance indicators.
		5. Failure to align service objectives to corporate aims and priorities / Failure to deliver services effectively due to poor service planning	2	3	3	The Corporate Planning process should set out a clear vision for the authority and specific targets. Some services have statutory responsibilities. Individual Service Plans should be derived from the Council's Corporate Plan and statutory/other responsibilities. Plans incorporate resources, risks, workforce, significant projects and performance indicators.	<i>5i. Service Plans are being prepared, taking into account the latest Corporate Plan and priorities. They will be made available on Spelnet, enabling other services to assess the likely impact. See actions also at risk category 4.</i>	Group Heads/ MAT / DCX LO/GH C & T	31 August 2017 *R Requires Monitoring	See also risk category 4 above. 5i. Service Plans for 2016/17 have been prepared following the restructure and placed on Spelnet. The majority of Service Plans for 2017/18 have been completed.
Page 16		6. Failure of projects due to poor project management arrangements. Lack of resource and expertise to deliver and coordinate asset related/other projects whilst continuing to maintain services.	2	3	3	1. Project management arrangements are in place including process for project initiation, consideration of resources available to deliver, identification of project risks and progress reporting processes. Corporate Project Register updated as necessary. Corporate Project team is in place. The Council's Management Team ensures project documentation is completed, resource implications assessed and agreed control processes adhered to. On a quarterly basis a report goes to MAT, Cabinet Briefing and Overview and Scrutiny committee outlining progress made with projects and the work of the corporate project team.	<i>6.1 i. Development of a Contract and Procurement Hub by December. 6.1 ii. Prepare an action plan for the implementation of the Hub.</i>	MAT /GH C & T*	31 December 2017 *O Requires Monitoring	A plan is held for the development and implementation of a Contract and Procurement hub, setting out the Council's strategic approach to Procurement.
							<i>6.1 iii Management team to consider limited capacity and revenue implications prior to approving additional / new projects. 6.1iv. The Projects Assurance Officer to promote the importance of following correct procurement processes in delivering projects.</i>	MAT	Ongoing monitoring	Approx. 35 projects are currently being tracked through the Project Office and TaSF programme. Resourcing of projects remains an ongoing challenge. The Project Assurance Officer will be focussing on procurement in the projects process during the coming months.
						2. Staines upon Thames - The Group Head for Regeneration and Growth oversees Staines upon Thames regeneration with support from consultants. 5 work streams have been fully defined and documented.	<i>6.2. A number of options are being considered for the Bridge Street site.</i>	GH R & G *	31 August 2017 *R Requires monitoring	Developer Bellway pulled out of acquiring the Bridge Street site in 2016. The Council is therefore considering options.

SPELTHORNE BOROUGH COUNCIL - CORPORATE RISK REGISTER
2015/16 QUARTER 1

PREVIOUS RAG (SEP)	CURRENT RAG (MAR)	RISK / CONSEQUENCES	LIKELIHOOD OF RISK	IMPACT OF RISK	LEVEL OF RISK (to evaluate)	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	TARGET DATE	PROGRESS /REASONS WHERE NOT IMPLEMENTED
						3. Towards a Sustainable Future - The programme for this challenging initiative identifies roles, responsibilities, key deadlines, financial implications and risks. There are three work streams/mini programmes falling under the overall TaSF programme. MAT have assigned resources to the main areas of the TaSF programme, and projects are underway. The TaSF Programme Support Officer coordinates all three main work streams under the TaSF programme, reporting to the Group Head for Commissioning and Transformation who currently oversees the direction of the programme. TaSF structural review completed with the Group Head appointments from April 2016 and Deputies from July 2016. Review completed of document retention and electronic data management systems	6.3. High level overview of the three work streams has been identified to ensure cohesion and coordination.	MAT	31 August 2017 * R Requires monitoring	Close monitoring of TaSF projects and timeframes is ongoing to manage risks and overall impact of the delays on the programme as a whole. Some TaSF projects have been completed whilst other areas are outstanding.
Page 17		7a. Security / data breaches, resulting in system failure, Information Commissioner fines and reputational damage. Information could be processed inappropriately resulting in breaches of the DPA. ICO enforcement action may include fines up to £500,000. Loss of public confidence. Potential to breach Freedom of Information (FOI) Act and other Information	2	4	3	Back up and continuity arrangements managed by ICT and tested by Service Heads. ICT security policies. Personal Commitment statement required from staff. ICT security group assess ongoing risks. ICT Disaster Recovery test conducted in December 2016. Information Governance Group. Information Governance Officer in post. Mandatory Data Protection training. Spelthorne currently breaches the time limit set for response to FOI requests in approx. 20% of cases and recently received a Decision Notice against the Council from the ICO.	7i. Information Governance Group to pursue action plan to ensure information assets are identified and managed. 7ii. In view of the organisational restructure, confirmation of where the authority's Senior Information Risk Owner role (SIRO) should sit and identification of training requirements requires pursuing. 7iii. Refresher training for Data Protection to be rolled out which should take into account the implications of the new Data Protection Act (DPA) due to take effect from May 2018 (whereby regulators can impose a significant increase in fines up to £20m or 4% of global revenue turnover). 7iv. Raise awareness of Information Governance and the requirements of the DPA amongst staff and members. Information flows to be mapped and Information Asset Owners to be identified. (NEW) 7v. Implement mandatory Freedom of Information (FOI) training and raise awareness of Public Sector Information	GH C & T */IGO *	31 August 2017* R Requires Monitoring	7i. Information Governance Officer is in post to provide ongoing guidance and ensure compliance with statutory obligations. The Information Governance Group are due to reconvene to address outstanding actions. 7ii. MAT agreed in March 2017 that the Group Head for Commissioning and Transformation would be appointed as the authority's Senior Information Risk Owner (SIRO). 7iii. Mandatory training sessions for all staff have been organised, to be delivered by early July 2017.
		7b. See above.				Document Retention Policy held.	7iii. Electronic document management systems (EDMS) project is due to be completed by December 2017, which is intended to help strengthen information security. 7iv. The Document Retention Policy is being revisited in relation to back scanning of Building Control and Disabled Facilities Grants.	GH C & T*/IGO* MAT	31 August 2017 R* Requires Monitoring	The authority has decided on its approach to document management and implemented the first phase. EDMS is progressing. The Idox document management system has been implemented for Environmental Health, Planning and Building Control with training delivered. Some clarification required for Building Control. Analysis work underway to identify requirements to expand Civica Contact Manager additional modules to accommodate other service areas (HR, Housing, Leisure). For internal Documents the plan is to upgrade and rebrand SharePoint, although sufficient resourcing is required to progress this.

SPELTHORNE BOROUGH COUNCIL - CORPORATE RISK REGISTER
2015/16 QUARTER 1

PREVIOUS RAG (SEP)	CURRENT RAG (MAR)	RISK / CONSEQUENCES	LIKELIHOOD OF RISK	IMPACT OF RISK	LEVEL OF RISK (to evaluate)	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	TARGET DATE	PROGRESS /REASONS WHERE NOT IMPLEMENTED
		8. Failure to meet the minimum security requirements of the Government Code of Connection resulting in termination of connection to any other government sites/data; uncertainty over direction of ICT within the authority. Unavailability of ICT systems and/or unauthorised removal and selling of data/fraud as a result of inadequate measures to combat cyber security attacks or respond effectively.	2	3	3	A review group assesses compliance with the Government Code of Connection (CoCo). Firewall installed, laptops encrypted, memory sticks banned until they are 'white-listed' as known devices on the network, and universal serial bus (USB) ports locked down. Dual factor authentication on all laptops. All Baseline Personnel Security Standard checks completed. Annual health check and security penetration test completed. CoCo re-accreditation achieved in January 2016. The Cabinet Office has increased security requirements due to the implementation of the Public Service Network (PSN). Successful certification of Public Service Network (PSN) compliance in March 2017. Mimecast e-mail filtering software installed June 2016 to help reduce infected and problematic e-mails entering the Council's network. DR plan for ICT	8. i. Production, approval and implementation of an ICT Strategy consistent with the core objectives of the Council, ensuring effective and efficient use of resources and service delivery. 8ii. Government Code of Connection (Coco) resubmitted for 2017 and certification of the Public Sector Network (PSN) compliance (renewal) required. 8iv. Internal Audit review scheduled for 2017 of measures being taken to protect the authority from Cyber Security threats and adequacy of the authority's response to any such attacks. 8v. A network refresh is overdue and MAT are encouraging the need for flexible solutions (NEW)	Head of ICT*	31 August 2017 R* Requires monitoring	8i. Whilst the Head of ICT has prepared a formal ICT strategy, it is yet to be passed to MAT for approval. The strategy has identified a requirement for a Business Analyst post, currently being pursued to enhance resource. 8ii Implemented - achieved Public Sector Network (PSN) compliance in March 2017. 8iii. Cyber Security Internal Audit Review scheduled for July 2017. Incidence Management Response audit review recently conducted.
		9. Lack of business continuity planning to cover loss of building, equipment, ICT or staff - leading to loss or disruption to services	2	3	3	Business Continuity (BC) Policy updated. The BC Forum oversees progress of BC planning. Business Impact Assessments identify priority services, resources required for their continuation and time frame. Emergency protocols for loss of building access/loss of power/loss of ICT are being developed. Emergency messaging system for staff. Improvements made to telephony resilience. Contract agreement in place with Applied Resilience, with increased resilience and support for Business Continuity Planning. Updated staff contacts list. Issues arising from the corporate table top exercise of September 2016 have been fed into the Corporate Business Continuity Operational	9i. Monitoring the agreement with Applied Resilience (by Spelthorne) should incorporate specific targets and expected outcomes in order to measure actual performance. Monitoring needs to be meaningful and clearly evidenced. 9ii. Corporate Business Continuity Operational Plan is being updated. 9iii. Applied Resilience to issue a final deadline regarding the outstanding service-level continuity plans.	GH C & T*	31 August 2017 (R*). Requires Monitoring	i. Audit Services have held discussions with Group Head for Commissioning and Transformation regarding the importance of monitoring the agreement with Applied Resilience. ii. The Corporate Business Continuity Plan now forms two plans so it is more meaningful for the key responders (Incident Management Team and recovery team). iii. Applied Resilience have collated updated Service-Level Plans (SLP) and are pursuing outstanding plans (at least six). Group Heads have commented positively on guidance offered by the Resilience Advisor in this process. 5/6/17 - Awaiting updates from Applied Resilience to actions 9ii and 9iii.
		10. Failure in service delivery due to over reliance on individuals; loss of technical systems knowledge and expertise; staff uncertainty due to changes impacting on staff morale and stress levels.	3	3	3	Group Heads/MAT are responsible for ensuring business continuity, including loss of key staff. Critical procedures should be documented and staff appropriately trained. Group Heads should review as part of the service planning process. Resilience may be provided from other local authorities or other organisations. Wellbeing and Resilience Training provided in 2015. Significant investment has been built into the 2017-18 Budget to address resourcing, retention and morale issues. These include moving back to a local pay award likely to mean an additional 1% for staff, building in £200k for market supplements, additional resourcing for key delivery areas of Legal and Asset Management.	10i. In view of the imminent departure of Spelthorne's Chief Executive from September, the Audit Committee seeks assurance that the recruitment process is underway and on target. (NEW). 10ii. Human Resources to arrange staff development and training plans for the Group Heads and Deputy Group Heads. 10iii. Human Resources to commission bespoke training as well as utilise existing management development courses on offer. 10iv. Deputy Chief Executives to provide corporate steer for progressing Management development training based on needs identified. 10v. Ongoing management of change within Finance and Customer Relations and interim pastoral support will be required until the new Group Head for Finance and Customer Relations is in post.	Group Heads/MAT/HRM/DCX (TC)/DCX (LO)	31 August 2017 (R*). Requires Monitoring	10ii, 10iii & 10iv. Human Resources have reviewed development needs for recently appointed Group Heads and Deputies and presented information to the DCX'S, with some training prioritised. The Human Resources Manager or Group Head for Commissioning and Transformation will be attending the Audit Committee on 22/6/17 to provide an update to Members in this area. 10v. The Acting Group Head for Customer Relations has been overseeing Customer services since April 2017, supported by other officers. A structural review of Customer Services is also underway. Recruitment is underway for a Chief Accountant and Deputy Chief Accountant to oversee the Finance team, interim support being put in place to cover gap between permanent post holders.

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		11. Failure in service delivery due to reduced capacity and increasing demands from the community; prolonged staff vacancies due to inability to recruit; posts advertised as temporary may be adversely impacting on the Council's ability to recruit. Increased risk of delay, errors or stress.	3	4	4	Short term reductions in capacity are accommodated by prioritisation and reallocating work amongst staff. Longer term impacts and changes to demand may be more difficult to address. If resources cannot be enhanced, services will have to prioritise work. Staff have access to counselling via Occupational Health. Posts advertised with Surrey Jobs which also feeds into a wider network of job sites. Specialist websites are also used to advertise posts. Annual report by Human Resources issued to Management Team summarising staff recruitment and turnover. The commissioned piece of work on areas under specific pressure in terms of recruitment and retention has been completed in 2016 and options considered. Market supplements awarded to certain roles and increased investment allocated to certain Services.	11i. Members and Management Team will need to keep resourcing levels under review, particularly the impact of new projects and any statutory obligations on service/project delivery. 11ii. Implementation of requirements relating to the national apprenticeship scheme. 11iii. Human Resources to monitor the effectiveness of measures taken to improve recruitment and retention across the authority, in collaboration with Services. (NEW)	Group Heads/MAT/HRM	31 August 2017 * R Requires monitoring	11i. ongoing Briefing sessions have been held to raise awareness amongst Managers about the national apprenticeship scheme. A decision regarding the authority's preferred approach to apprenticeships is underway. 11iii. The Human Resources Manager or Group Head for Commissioning and Transformation will be attending the Audit Committee on 22/6/17 to advise Members of the recruitment and retention challenges faced by the authority and improvement measures taken.
		12. Low morale as a result of increasing service demand, lack of staff & finance, organisational restructure. Increased turnover, high staff stress levels, risk of losing expertise and impact on services.	2	3	3	Employment arrangements in place include recruitment and selection, pay and rewards, training and development. Change Management process, communications, performance management systems, appraisals, one to one's, team meetings, performance clinics, staff meetings. Stress audit conducted in Housing. The Human Resources Manager advises MAT as appropriate. Planned TaSF Senior management restructure taken place in 2016. See also controls recorded under section 10 above.	12i. Management Team to keep under review.	MAT	Completed/Ongoing monitoring	MAT maintaining under review . There is an ongoing risk of low morale and increased turnover during times of organisational change and uncertainty which MAT acknowledge. However additional budget provision built in to the 2017 - 18 budget for market supplement to assist with recruitment and retention; Council has moved back to a local pay scheme allowing an additional 1% pay increase.
		13. Failure to comply with the Council's corporate governance requirements and standards resulting in poor value for money, Costly legal challenges and reputational damage.	3	3	3	Corporate Plan setting out clear purpose, vision and outcomes. Constitution setting out clearly defined roles/rules for Members/Officers. Code of Corporate Governance and Codes of Conduct to promote high standards of conduct and behaviour. Informed and transparent decision making processes open to scrutiny. Member and staff training programmes. Accountability through published accounts and community engagement . Induction programme delivered for new councillors during 2015 including briefing on roles and responsibilities, financial position, delivering services and current key issues.	13. The Council's Code of Corporate Governance is due for review.	MAT or Head of CG	31 August 2017 R* Outstanding Action	The review of the code of Corporate Governance remains outstanding. 5/6/17 - Awaiting update from the Head of Corporate Governance.

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		14a. Procurement - Weak governance arrangements and lack of transparency in procurement decisions. Financial penalties for non-compliance with legislative requirements. Contractual disputes and claims through poor specifications. Weak contract management resulting in Contractors/partners failing to deliver expected outcomes. Reputational damage	3	3	3	Contract Standing Orders set out tendering requirements, revised in April 2016. Contract guidelines with compliance checklist. Officer Code of Conduct sets out requirement for declaration of interests. Contract management training held in 2012 and 2013. Specification writing training taken place. Procurement training provided in October 2014. Development of the e-procurement system continues and further contracts continue to be sourced with this solution which offers significant time savings and efficiencies for staff in Legal. Development of Contract and Procurement hub.	14i. Full compliance with the Local Government Transparency Code is required and should be confirmed once achieved. 14ii. To ensure there is an ongoing reference for officers involved in procurement activity, Procurement and Contract Management guidelines need to be updated and publicised to reflect regulatory changes of 2015. Responsibility for this task needs to be re-assigned in light of the organisational changes. 14iii. The Procurement strategy has been updated recently, to include a strategy action plan to facilitate monitoring. 14iv. The Procurement Board is being amalgamated with other Boards to improve efficiencies. 14v. Development of a Contract and Procurement Hub by December 2017 and preparation of an action plan to assist implementation . 14vi. Implement a programme of training for	MAT DCX (TC)/ PS/Group Head C & T*	31 August 2017 *R Requires Monitoring	5/6/17 - Awaiting further update from the Group Head for Commissioning and Transformation (no updates received in terms of progress made against the actions). During a Procurement audit conducted in January 2017 the following key issues were ascertained: - The Council is only partly compliant with the Local Government Transparency Code requirements. - Procurement guidelines available do not reflect significant regulatory changes of 2015 (UK Public Contract Regs) and therefore staff may be applying out of date regulations. It is acknowledged that verbal updates have been communicated to MAT and Senior Managers. -The Procurement Board have not met frequently since 2015, due to the organisational restructure and uncertainty over assigned roles, responsibilities and direction of Boards - A plan is held for the development and implementation of a Contract and Procurement hub, setting out the Council's strategic approach to Procurement. -Testing of contract files found that there was not always a clear audit trail of actions to evidence whether the correct procurement process had been followed. Similarly evidence of performance monitoring of
		14b. Major Contracts - Lack of forward planning in preparation for the expiry of existing Leisure Centre arrangements in 2021, resulting in delays in Service provision. Delays in delivery of project and key milestones.	3	3	3	Leisure centre Contract ends 2021. A paper entitled "Leisure Centre Needs Analysis" was submitted to MAT in July 2014. This recommended the need for a feasibility study to refine options going forward. A lead time of seven years was quoted. Member involvement in considering alternative options. Project Manager is Deputy Group Head for Community Wellbeing. High level concept plans have been produced by Wilmot Dixon based on the initial feedback provided by SBC. A high level discussion document was presented to Cabinet in October 2016 and a project team has subsequently been formed to support the future direction of this project.	14bi. Project progress to be monitored against plan to ensure timely progress. 14bii. This project should be included in the Corporate Project Register to facilitate regular monitoring and reporting by the Corporate Project team.	Joint Group Heads CW/Deputy Group Head CW *	31 August 2017 *R Requires Monitoring	5/6/17 - Awaiting update from the Deputy Group Head for Community Wellbeing on the following areas (no updates received in terms of progress made against the actions) : 14bi. A specification is being drawn up for appointing specialist consultancy and advice primarily around the development of a feasibility study and a sound business case to take the project forward. Liaised with other local authorities who have recently completed similar construction projects. 14bii. As this project is not recorded on the Corporate Projects Register, it is unlikely to be included in project monitoring exercises or high level reporting carried out every quarter by the Corporate Project team. Project slippages may not be identified in a timely way. This is partly because the authority has just come to a stage where it has a full understanding of its requirements from the project.

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		15. Pressures on Housing Service as a result of economic climate and welfare reforms including changes in government policy to restrict housing benefit. Introduction of Universal Credit may lead to staff retention issues. Loss of Housing Benefit subsidy and uncertainty over recovery of outstanding debt. London Boroughs increased use of Spelthorne properties. Local Housing	3	3	3	Group Heads/ MAT/Members are aware of risks. Working groups established to deal with changes. The authority faces some challenges in managing the loss of £500k per annum in subsidy (recovery of Housing Benefit overpayments) and the roll out of Universal Credit is now projected for 2022. Therefore the loss of subsidy will be spread over a longer period of time as completion of Universal Credit roll out slips. Accountancy have factored into outline budget projections. There is currently £2.7m of outstanding Housing Benefit overpayment debt in the Council's accounts. This is being recovered, albeit repayments are often small due to Housing Benefit regulations. Cabinet has received updates on Welfare Reforms. This includes a suggested approach to the use of discretionary housing payments. Strategic Housing Group. Officers and A2D have been	15. i. <i>The Corporate Debt Group to discuss legal support for recovery of Housing Benefit overpayments, bearing in mind the need for the authority to secure value for money.</i> 15.ii. <i>The Housing Benefits Manager to provide information supporting overpayment statistics issued to the Corporate Debt Group.</i> 15.iii. <i>A model for the strategic way forward in delivering the Housing function has been drafted and is to be discussed/agreed.</i> 15iv. <i>Management Team to continue to monitor the pressures facing the Housing Service. (NEW)</i>	MAT / Joint Group Heads CW *	31 August 2017 * R Requires Monitoring	15i. Implemented . Corporate Debt Group meetings have reconvened from March 2017. Legal support for HB overpayment recovery was discussed and there is a possibility that Customer Services could take on legal cases in future to court. 15ii. Implemented- Supplied overpayment statistics at a previous corporate debt meeting. 15.iii A model for the strategic way forward has been drafted. Knowle Green Estates (subsidiary) set up in May 2016 focusing on Housing Delivery. Despite this the pressures on the frontline Housing Services are continuing to increase. There is additional pressure as the impact of County Council cuts on areas such as local voluntary organisations, the closure of key hospital units, Supported Housing schemes, Adult and Children's Services generally filter through to organisations and individuals. Staff are spending considerably more time on cases and becoming frustrated at the shortage of community based support mechanisms for clients. The Housing options Manager is leaving the authority after over ten year's service and although steps are being taken to replace him, recruitment to Spelthorne professional roles is often difficult as highlighted in other areas.
Page 21		16. Poor partnership governance arrangements	3	3	3	MAT set strategic direction for Partnerships. Partnership governance policy out of date (August 2009) . Insurance arrangements in place.	16i. <i>A responsible officer to review, update and re-issue the Partnership Governance policy.</i> 16ii. <i>A list of significant Partnerships entered into should be identified and recorded centrally.</i> 16iii. <i>Completion of questionnaires to make an assessment of Partnership governance arrangements.</i> 16iv. <i>Members of Overview and Scrutiny Committee to scrutinise Partnership activity if required.</i>	MAT	31 August 2017 * R	Internal Audit review of September 2016 identified limited attention has been given to Partnership Governance since 2011 and therefore some actions are required to revitalise the necessary governance arrangements and associated controls. The Group Head for C & T is in the process of taking the recommended actions forward.
		17. Uncertainty over economic growth and supplier failure, impacting on: • Delivery of contracts and services • Business Rate income. SBC now bears a significant share of any losses on collection. Economic Development Strategy fails to be implemented and expected outcomes/anticipated benefits are not achieved. Leadership and	2	3	3	Financial Services monitor the financial media in relation to larger companies and critical commercial partners. Recovery and inspection of business properties is being strengthened to maximise collection/minimise losses for the Council. Spelthorne are a member of the Surrey Business Rates pool for 2015-16 enabling enhanced monitoring and data sharing with the other four participating councils. Business Rates Subgroup formed with agreed terms of reference focusing on Group Training, specialist advice, cross boundary prosecutions and legal advice. On 15 February 2017 the DCLG published a second consultation on further business rates retention, alongside a summary of responses to the first consultation last year.	17i. <i>Impact of new Business Rate arrangements on Council finances is under ongoing review.</i> 17ii. <i>Business Rates project being pursued.</i>	DCX (TC)/Acting Group Head CR *	31 August 2017 * R Requires monitoring	A service level project has been initiated to focus on 3 areas of business rates: Increase tax base Reduce Business Rate avoidance Increase admin grant Business Rates Avoidance Officer post approved but not yet recruited. This role is intended to assist in maximising the tax base and target potential areas of avoidance. Business Rates Inspector role now permanent with an increase in hours. Use Analyse Local software as information source .

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		management decision making may be impaired if performance indicators reflecting the levels of economic development activity in Spelthorne are not regularly monitored/reviewed.				Economic Development Strategy is reviewed every three years. Regular reporting to the Cabinet Member with responsibility for Economic Development to advise on progress with action plans and delivery of the strategy. LGA funded adviser produced 3 reports on Key Account Management, Inward Investment and Visitor Numbers. Funding subsequently approved. A CRM is being developed to track Spelthorne's top 20 businesses with regards to key account management. Approval has been received from SCC with regards to 4 improvement projects at shopping parades, with SCC funding £100k and SBC match funding, totalling £200k. An advisor was appointed in November 2015 to support inward investment and Key Account Management. A permanent post of Business Engagement Officer has now been created (8 May 17) to	17iii. Economic development is a Council priority and growth will impact on business rate income - this is under ongoing review. 17.iv. The updated 3 year economic assessment & development strategy for 2017-2022 and associated processes incorporate recommendations raised by Internal Audit in their review of December 2016. One such recommendation made is that progress on each of the 'actions' in the strategy needs to be regularly monitored by the Economic Development Engagement Group (EDEG) bi-annually. 17v. Through the EDEG 5 areas have been identified as the most important areas of delivery within the strategy and will be reported on every 6 months to the group to strengthen performance monitoring.	DCX (TC)*/GH R & G*/ CS & EDO*	31 August 2017* Requires monitoring	17iii. Ongoing review. 17iv & 17v - 5/6/17 No updates received in terms of progress made against these actions.
		18. Failure to comply with employment legislation or statutory duty leading to possible compensation (unlimited), damage to reputation, Legal costs and significant officer time.	2	3	3	Human Resources (HR) identify changes in employment legislation, provide guidance and training to ensure compliance. Professional HR support. Equality and Diversity working group and training provided to all staff.	18. Where HR guidance is issued to officers in relation to changes in employment legislation, this needs to be consistently evidenced (documented) as a safeguard against potential employee claims.	MAT/ Group Heads/ HR Manager *	31 August 2017* Requires monitoring	This action has arisen as part of an internal audit review and is under discussion .
		19. Failure to comply with statutory duty / adhere to Safeguarding Policy leading to death or injury to child or vulnerable adult, legal action and reputational damage. Failure by County to address Spelthorne referrals relating to vulnerable children/adults.	2	4	4	Council has statutory responsibility for safeguarding children and Adults. Safeguarding policies and procedures. Staff and Member training. All referrals to Surrey County Council should be reported to a nominated Spelthorne Officer. Regular meetings held with Surrey County Council and consultation with the Surrey Safeguarding Children's Board (SSCB). Annual Section 11 audit. The Children's Safeguarding and Adults at Risk Strategies have been revised Feb 2017.	19i. The Leisure Services Manager to review changes required to the Children's safeguarding policy, particularly with regards to child sexual exploitation. 19ii. Further liaison with Surrey County Council is necessary in order to strengthen the feedback process relating to children's referrals. 19iii. To seek clarification over responsibility for dealing with safeguarding issues for cross border referrals (where families located out of Surrey). 19iv. Staff training needs to be assessed and revised policies/processes publicised in due course. 19v. Internal Audit recommendations of December 2016 are being implemented.	DCX (TC)/LSM/ILM/Joint Group Heads - CW *	Completed/ongoing monitoring	19ii Implemented - The new Safeguarding Policy was approved by Cabinet in March 2017 and is on Spelnet. The updated referral procedure is displayed on all notice boards. 19ii. An ongoing concern. The Surrey Safeguarding Hub for referrals was launched several months ago. The operational side of referrals is very difficult. The Housing Team make referrals as required but in some instances the response is inadequate and Housing staff feel they are being asked to convey messages to children and young people which they themselves feel very uncomfortable with. Senior Community Wellbeing managers and the Deputy Chief Executive with Safeguarding responsibilities have had to intervene. The Housing teams have struggles with lack of internal communication with Children's Services in particular. A meeting with Senior Social Services staff to try to address the working relationship was scheduled for May 2017. 19iii. Implemented- Instructed to escalate any cross border referrals/ issues in the future to the senior safeguarding managers. 19iv. The Leisure Services Manager has liaised with Human Resources to ensure an accurate list is held of staff requiring training and DBS checks. A new online safeguarding training module was launched at Spelthorne in

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		20. Service delivery and planning difficulties due to Central Government funding being withdrawn and therefore reduction in spending. Possible withdrawal of New Homes Bonus with impact on Revenue Budget. Opportunities for significant income generation and investments are missed, impacting on the Council's ability to close the budget gap and deliver vital services.	3	4	4	Long term strategic/financial planning. Corporate Plan / priorities reviewed. Member engagement "Towards a Sustainable Future" programme identified potential savings and additional sources of income. The Council is working to find innovative ways to fund services and create new revenue streams. Advice is sought from the Treasury Management advisors as appropriate.	20i. Towards a sustainable future programme to be delivered 20ii Contract agreements to include relevant clauses in order to safeguard the Council's interests, with monitoring arrangements to follow. 20iii. Effective systems need to be in place to record and recover rental income due to SBC.	MAT	Completed/ongoing monitoring	20i. TaSF programme being progressed. Officer Structural Review completed. As part of Income Generation there have been significant Asset acquisitions and Investments during 2016/17. In September 2016 Spelthorne Borough Council announced the purchase of the campus occupied by BP in Sunbury-on-Thames. BP will remain as tenants at the Sunbury site leasing back the offices from SBC for a minimum of 20 years. This will generate significant income year on year helping the financial sustainability of the Council. 20ii and 20iii. 5/6/17 - Awaiting update on status of actions.
Page 23		21. Reduction in service delivery, reduced capacity and possible loss of internal control as a result of savings required to balance budget	3	3	3	Management as the first line of defence are responsible for maintaining key services and internal controls. Reduced resource levels in some areas are likely to impact on the ability to operate an adequate level of controls. For example segregation of duties is not always possible and there may be fewer management checks.	21i. MAT to acknowledge that reduced resources and capacity levels has an impact on the level/adequacy of controls operating within functions/corporate systems and processes. Associated with this is a lower level of assurance.	Group Heads/MAT	Completed/ongoing monitoring	2017/18 Budget providing additional resources for Housing, Legal and Asset Management. A new Property Manager has been appointed.
		22. Changing political landscape - Brexit represents many potential uncertainties for organisations such as currency devaluation/volatility, trade, investments, relocation of Partners/Suppliers, changing access to EU funds, level of compliance with EU regulations, workers rights (EU Nationals), existing policies and procedures, procurement process and contract agreements.	3	3	3	At the request of Management Team, a discussion paper setting out potential staffing implications has been prepared by the Human Resources Manager (March 2017). A verbal update has been provided with regards the potential financial implications and considerations.	22i. MAT to consider potential Brexit uncertainties for Spelthorne and have a plan in place to address.	MAT	31 August 2017* Requires monitoring	Management Team have received a briefing paper from the Human Resources Manager setting out the potential HR implications and uncertainties associated with Brexit. Financial risks and opportunities have also been discussed and are being kept under consideration.

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		23. Poor return on long term investments /investments insecure in current climate	2	3	3	Treasury Management Strategy approved annually by Members. Aim to select counterparties of the highest credit quality; credit ratings monitored closely. Council's investments managed internally in consultation with Arlingclose. Quarterly meetings and conference calls held with Arlingclose. Deputy Chief Executive, Terry Collier and Portfolio Holder, Councillor Williams are involved in key decisions. Use a range of credit ratings and criteria recommended by Arlingclose. Regular monitoring ,reporting of investment portfolio and returns achieved.	<i>23i. As highlighted in a recent internal audit review, a thorough handover of treasury management duties needs to take place prior to the departure of the Principal Accountant on 9/6/17. It is acknowledged that an initial handover process was carried out in March between the former Deputy Principal Accountant and the interim officer (Richard McFarlane).</i>	DCX (TC) *	Ongoing monitoring	The team continues to explore options for diversifying the portfolio. As well as investments the Council now has £413m worth of debt (fixed rate) a result of the recent asset acquisitions. The portfolio continues to deliver good rates of return - on core pooled funds achieved average rate of return of 5.18%.
		24. Failure to collect/recover income due, resulting in losses to the authority.	3	3	3	Corporate Debt Officer Group. Corporate Recovery Policy. Recovery policies also exist for specific areas such as Council Tax, NNDR, Sundry Debts etc. Debt collection statistics produced and analysed. Budget Monitoring identifies any shortfall in income. Accountancy report to Management Team and Members on significant variances and comparisons with previous year. Debt recovery training for relevant staff has been provided.	<i>24i. Recovery arrangements for significant debts/other income streams and amounts outstanding to be periodically monitored through the Corporate Debt group.</i> <i>24ii. Management Team (MAT) should coordinate action to tackle aged debt that is unlikely to be recovered. Going forward, targets should be set for keeping aged debt to a minimum.</i> <i>24iii The DCX, Terry Collier, as S151 Officer, to receive and review a monthly status report on 'at risk' debts i.e. higher value aged debts over 6 months old in order to confirm that suitable recovery action has been taken, and where exhausted, ensuring write- off action is pursued.</i> <i>24iv. The Deputy Chief Executive in his capacity as Section 151 Officer to reconvene the Corporate Debt Group, coordinating outstanding actions such as strengthening recovery procedures for sundry debts to reflect Spelthorne's recovery policy wherever possible and practical, with less</i>	MAT/ DCX, TC/AGH CR/ Group Heads	31 August 2017 * R Requires Monitoring	24iii. Monthly aged debt analysis reports are sent to the DCX, Terry Collier for monitoring. 24iv. Implemented- the DCX, Terry Collier, has reconvened Corporate Debt Group meetings (from March 2017) which are being held regularly. This forum is used to monitor actions set out at 24i and 24ii. In particular the Corporate Debt Group discuss the more material items on the aged debt analysis. 24v. A review of the terms of reference for the Corporate Debt Group is on the agenda of the next meeting scheduled to take place in July .
		25. Serious and organised crime poses a threat to national security; lack of awareness may lead to harm to the local community or staff; intelligence is not shared or acted upon; organised crime groups could be benefitting from public sector procurement contracts resulting in financial or reputational losses	3	4	4	The Internal Audit Manager is Spelthorne's Single Point of Contact for Serious and Organised crime. There has been liaison with the Police and official documentation provided on requirements for Spelthorne.	<i>25i. Serious and Organised Crime Audit to be carried out in accordance with the official Police framework. This is intended to identify areas where Spelthorne is most vulnerable/ at risk .</i> <i>25ii. Group Heads and Managers to assess governance arrangements currently in place to help combat the risk of serious and organised crime.</i>	IAM/ Group Heads/MA T	30 September 2017 * O Requires Monitoring	25i. The Internal Audit Manager met with the local Police team in April 2017 to identify high risk areas generally and specifically for Spelthorne, which have been communicated to the DCX (Terry Collier). The framework to be applied for the Serious and Organised Crime Audit was also discussed . Prior to commencing the audit during 2017/18, there is scope to raise general awareness of this topic at a future Manager's Briefing. 25ii. This action will be taken forward as part of the planned audit, in collaboration with Group Heads and Managers.

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PREVIOUS RAG (SEP)	CURRENT RAG (MAR)	RISK / CONSEQUENCES	LIKELIHOOD OF RISK	IMPACT OF RISK	LEVEL OF RISK (to evaluate)	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	TARGET DATE	PROGRESS /REASONS WHERE NOT IMPLEMENTED
		26. Increased risk of fraud / theft due to economic climate resulting in financial losses and damage to reputation of authority. Housing tenancy fraud reduces availability of social housing.	3	3	3	Corporate Policies including Confidential Reporting Code (Whistle blowing), Anti-fraud, Bribery and Corruption Strategy, Proceeds of Crime and Anti-Money Laundering, Code of Conduct including rules relating to gifts and hospitality, and declaration of interest. Staff are reminded about governance policies during the appraisal process. Refresher fraud and anti-bribery awareness training for staff and Members is due. Various policies and procedures such as Financial Regulations and Contract Standing Orders, management checks, segregation of duties, reconciliation processes for financial systems and IT Security measures. An internal fraud referral process/system has been implemented within Housing . Audit Services and Investigating Officers continue to attend specialist Fraud groups with Surrey Partners	26i. Assign additional counter fraud resource to priority areas and monitor financial payback. 26ii. To arrange Fraud and anti-bribery and corruption training for all staff and Members.	Group Heads/ MAT/IAM	31 August 2017 *R Requires monitoring	Counter fraud work continues with non-benefit fraud returns being collated quarterly, focusing on housing, (homeless and housing applications, tenancy fraud) and business rates (evasion and avoidance). At 31.3.17 the cumulative return for Spelthorne (since the start of the Surrey Fraud Partnership in January 2015) was £855k . 26i. Priority areas for additional counter fraud resource have been discussed at the Corporate Fraud Overview Group meeting in May 2017 and the preferred option to buy-in specialist resource is being taken forward. A meeting is also due to take place at the end of June between Housing, Internal Audit and A2D to discuss scope for greater joint working in an attempt to combat tenancy fraud. 26ii. The Internal Audit Manager has recommended to Human Resources and the DCX'S a need for Corporate Fraud , anti-bribery and corruption awareness training for all staff and Members. It has been about 5 years since such training was provided and it is therefore overdue. Effective methods for delivery of such training are being explored.

***KEY TO RAG RATING**

	Actions overdue and outstanding
	Partially actioned
	Completed/Ongoing monitoring

***KEY TO TARGET DATES**

- * O = Original target date for assigned action
- * R = Revised target date for assigned action
- * N = New Action

Note that previous RAG ratings are included to illustrate the Direction of Travel for recommended actions

***KEY TO OFFICERS**

MAT - Management Team

AGH CR - Acting Group Head for Customer Relations, Roy Tilbury

Head of CG – Head of Corporate Governance, Michael Graham

Head of ICT – Helen Dunn

DCX (TC) – Terry Collier

HSIRM - Health and Safety, Insurance and Risk Manager – Stuart Mann

GH C & T - Group Head - Commissioning and Transformation, Sandy Muirhead

GH - NS - Group Head - Neighbourhood Services- Jackie Taylor

DCX (LO) – Lee O'Neil

SEHM - Senior Environmental Health Manager, Tracey Wilmott-French

PS - Principal Solicitor, Victoria Statham

GH R & G - Group Head - Regeneration and Growth, Heather Morgan

IGO - Information Governance Officer, Clare Williams

HRM – Human Resources Manager, Debbie O'Sullivan

CM- Contract Managers

Joint Group Heads of CW – Joint Group Heads for Community Wellbeing, Deborah Ashman and Karen Sinclair

LSM - Leisure Services Manager, Lisa Stonehouse

RRO – Risk and Resilience Officer, Nick Moon

CS & EDO – Community Safety and Economic Development Officer, Keith McGroary

IAM - Internal Audit Manager, Punita Talwar

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Cabinet**19 July 2017**

Title	Play and refreshment facilities at Lammas recreation ground		
Purpose of the report	To make a Key Decision		
Report Author	Jackie Taylor Group Head Neighbourhood Services		
Cabinet Member	Councillor Nick Gething	Confidential	No
Corporate Priority	Clean and Safe Environment		
Recommendations	<p>Authorise the Group Head Neighbourhood Services to go out to tender to design, install & run a new recreational facility and manage the refreshment kiosk within the Lammas recreation ground as detailed in 2.3 – option 3.</p> <p>Authorise the Group Head Neighbourhood Services in conjunction with the portfolio holder to evaluate the submissions and report back to Cabinet on preferred options and suppliers</p>		
Reason for Recommendation	The Lammas is a primary park and it is important to retain key recreational facilities within this park		

1. Key issues

- 1.1 The Lammas recreation ground is located in Wraysbury Road, Staines upon Thames and is considered as a destination park within Spelthorne. The rear of the park benefits from a direct river frontage.
- 1.2 On site there are 2 play areas with associated equipment, a spray ground which is open to members of the public between the months of May & September, tennis courts, skate-park, band stand, youth shelter, toilet facilities, car park and pavilion.
- 1.3 Most facilities within the park are provided free of charge except the crazy golf and train when they were in operation for which a charge was made by the operator. In recent years, the council did not receive any income generated and associated with the licence to operate on this space within the park.
- 1.4 The Lammas and its facilities suffered some of the worst flooding from the river Thames in 2014 in many years which rendered the ground unusable for many weeks while the park underwent a large scale cleaning exercise as well as repairs and/or refurbishment of the worst affected areas.
- 1.5 The licence for the provision of the crazy golf and the train within the park ended in 2016 and the licence holder decided that he did not wish to ask for an extension as provision of both facilities were no longer viable for his company. Neither were making any profit and both were looking very tired

and neglected. The facility was also within the flood area affected by floods in 2014 and the supplier was not willing to invest in upgrading a facility that was at risk of flooding in future years.

- 1.6 The licence for the kiosk expired early in 2017 and the licence holder indicated that she did not wish to renew for a further 5 year period. The licence therefore came to a natural end at the end of its term.
- 1.7 The option of re-letting the kiosk on a short term basis for the 2017 season was considered. However on entering the kiosk for a post licence inspection we very quickly established that it was in a very poor state of repair and needed a complete refurbishment before any further use could be considered.
- 1.8 The licences for both the recreational and kiosk facilities have been renewed over the years in order to keep providing the facilities without fully exploring other opportunities which may generate additional income and provide better or increased use of the open space. We therefore need to carry out a tender exercise to establish if there are any companies who are interested in tendering for the provision of a recreation facility within the Lammas recreation ground.
- 1.9 The options for recreational facilities may include but are not limited to:-
 - Petting zoo
 - Assault course
 - Adventure golf
 - Train rides
 - Electric go karting
 - Water activities
- 1.10 When considering future options it is important to take consideration of the location, which is popular with families, the park's general family ambience, its riverside location and the character of the park.
- 1.11 Since the golf, train and kiosk have ceased operating Spelthorne Borough Council and Councillors have received many questions from members of the public raising concerns about the loss of all 3 within the park. To mitigate these complaints for the 2017 season we have sourced a temporary refreshment facility which is operating on a temporary licence for the summer 2017 period. Members have also allocated funding in 2017 with which to refurbish the kiosk.
- 1.12 Officers have carried out site visits to others parks in the surrounding areas and established that:-
 - Windsor, New Malden and Woking have adventure golf courses
 - Bocketts Farm in Fetcham hosts a petting zoo
 - The Cockrow railway in Chertsey hosts a miniature steam train
 - Sandown Park hosts go-karting for all ages
 - A children's assault course is open in Hitchin
 - Water based activities for all ages are open in Sandhurst

- 1.13 At this stage it is not known whether or not there is an appetite for a company to design build and run any facility on the site but it is anticipated that if the refreshment kiosk is part of the package this will create added interest from potential suppliers.
- 1.14 Given the nature of the park and its family ambience it is hoped that any potential suppliers design a facility which provides a customer experience which is interactive, fun and challenging. The facility would also need to include options for play by all age groups and abilities, and aim to be fully inclusive for all users.
- 1.15 It is anticipated that any new facility has the potential to provide a long term revenue income stream whilst enhancing the recreation activities for users of the park. Income generated from such a facility could be used to maintain the sites other facilities and/or the Council could consider providing a subsidy for its use by residents of Spelthorne.
- 1.16 If such a supplier could be sourced it is likely that as part of any licence agreement the holder would require a term of between 15 and 20 years and also take account of the areas within the park that have the potential to flood. This would however be subject to planning regulations both in terms of green space and also flooding related issues.
- 1.17 It is evident from recent feedback that park users who come from many different areas outside of Spelthorne visit the Lammas to use both current and past facilities available within the park. A high number appear to be unhappy about the loss of the train and crazy golf.
- 1.18 Given the Council's challenging financial future and the need to make the most of our open spaces it is important to secure a facility that will provide the Council with an income from this primary park.
- 1.19 Improved facilities will also ensure that income received from park users by way of parking charges is also maintained; parking charges within the Lammas achieved in excess of £30k in 2016/17, most of which can be attributed to use of the park.

2. Options analysis and proposal

- 2.1 **Option 1** - We could do nothing, the crazy golf and train facilities have both been removed and the park land used for both has been put back into use as parkland. The kiosk is closed and we have sourced a temporary unit to cover the summer 2017 period.
- 2.2 **Option 2** - The kiosk could be refurbished and a suitable contractor could be sourced to run this facility. It is anticipated that this would create much interest from potential suppliers.
- 2.3 **Option 3 (preferred option)** - The preferred option is to go out to tender to design, install and run a recreational facility and refreshment facility within the Lammas recreation ground. The successful tenderer would be able to run the facility all year round in accordance with the opening times at the Lammas. It is anticipated that the option to run both the recreational facility and the kiosk together would generate more interest from potential suppliers than any other option. This option also has the potential for greater income generation in future years.

3. Financial implications

- 3.1 At this stage there are none as the procurement exercise will be managed by Neighbourhood Services officers. Following receipt of the tender submissions they will be evaluated by the Group Head of Neighbourhood Services in conjunction with the portfolio holder. A further report will then be submitted to Cabinet..
- 3.2 Funding has already been made available for the refurbishment of the kiosk via the Leader's windfall grant.

4. Other considerations

- 4.1 The tender will require any potential suppliers to provide a facility that is suitable for use by all ensuring that equality for all is at the forefront of the design. The facility will also need to be designed and marketed to ensure that it is financially sustainable for future years.
- 4.2 Once the tender exercise has been completed and evaluated members have requested that users of the park are consulted on options available to enable them to have an input into any potential new play facilities at the Lammas.

5. Timetable for implementation

- 5.1 It is anticipated that subject to agreement a tender exercise will be undertaken during September 2017 when we would hope to get maximum take up from potential suppliers.

Background papers: There are none

Appendices: There are none

Cabinet**19 July 2017**

Title	Members' Allowances Scheme 2017/18		
Purpose of the report	To make a recommendation to Council		
Report Author	Gillian Hobbs, Committee Manager		
Cabinet Member	Councillor Ian Harvey	Confidential	No
Corporate Priority	This item is not in the current list of Corporate priorities but still requires a Cabinet decision		
Recommendations	Cabinet is asked to consider the recommendations of the Independent Remuneration Panel, set out in full in the attached report, and recommend the amended scheme to Council.		
Reason for Recommendation	The Council is required to make a scheme of allowances and the Independent Remuneration Panel is appointed by the Council to advise on the type of its allowances and the amounts to be paid.		

1. Key issues

- 1.1 The Independent Remuneration Panel met on 24 May 2017 and 20 June 2017 to review the Members' Allowances Scheme for 2017/18.
- 1.2 It is a matter for the Council to decide the level of members' allowances under the Spelthorne Members' Allowances Scheme.
- 1.3 The function of the Independent Remuneration Panel (the Panel) is to provide the Council with advice on the type of its allowances and the amounts to be paid.
- 1.4 The statutory position is that Spelthorne Borough Council "shall have regard to" the advice from the Panel and the Council cannot make any changes to its Scheme of Members' Allowances without first considering the Panel's advice on the issues involved. The Panel acknowledges that it is a matter for the Council to decide the level of Members' Allowances. In having regard to the Panel's advice, the Council is to "give proper consideration" to the Panel's report. In this way, the Council can take full account of its particular circumstances and be directly accountable to its electorate.

2. Options analysis and proposal

- 2.1 The proposals recommended by the Panel are set out in detail in the attached report. A summary of the Panel's recommendations can be found on pages 9-10 of the report.

2.2 Cabinet is asked to consider the Panel's recommendations and make a recommendation to Council.

3. Other considerations

3.1 There are none.

4. Financial implications

4.1 The budget agreed in February 2017 for Members' Allowances for 2017/18 was £308,600. Taking into account the proposed increases in Members' Allowances recommended by the Panel, a budget of £327,913 will be required for 2017/18.

5. Timetable for implementation

5.1 Subject to approval by the Council on 20 July 2017, increases in the levels of basic and special responsibility and other allowances will be backdated to take effect from 1 April 2017.

5.2 In accordance with the Local Authorities (Members' Allowances) (England) Regulations 2003 the Scheme will be made available on the website and a notice published in a local newspaper giving details of the Scheme and the amounts payable in respect of each allowance mentioned in the Scheme.

Background papers: There are none.

Appendices:

Report of the Independent Remuneration Panel – June 2017



REPORT OF THE

INDEPENDENT REMUNERATION PANEL

ON

THE MEMBERS' ALLOWANCES SCHEME 2017-2018

FOR

SPELTHORNE BOROUGH COUNCIL

June 2017

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INTRODUCTION

1. This report has been prepared in accordance with the *Local Authorities (Members' Allowances) (England) Regulations 2003* ("the 2003 Regulations") as amended, which require all local authorities to appoint an Independent Remuneration Panel ('the Panel') to advise on the terms and conditions of their Scheme of Members' Allowances ('the Scheme').
2. The Panel acknowledges that it is a matter for the Council to decide the level of Members' Allowances. The statutory position (Paragraph 19 of the 2003 Regulations) is that Spelthorne Borough Council "**shall have regard to**" the advice from the Panel and the Council cannot make any changes to its Scheme without first considering the Panel's advice on the issues involved. In "having regard" to the Panel's advice, the Council is to "give proper consideration" to the Panel's report. In this way, the Council can take full account of its particular circumstances and be directly accountable to its electorate.
3. The function of the Panel is therefore to provide the Council with advice on the type of its allowances and the amounts to be paid.
4. The 2003 Regulations require the authority to make copies of the Scheme available for inspection by members of the public at all reasonable hours and publish a notice in a local newspaper giving details of the Scheme and the amounts payable in respect of each allowance mentioned in the Scheme.

INDEPENDENT REMUNERATION PANEL

5. Spelthorne Borough Council appointed the following persons to comprise the Panel at its meeting on 27 April 2017:
Sir Ivan Lawrence QC (Chairman)
Mr. George McLaughlin
Mr. Colin Squire
6. The members of the Panel have between them diverse experience in central Government, the law, local business, local authorities and charity work.
7. The Panel is fully independent of the Council and is not fettered in any way to provide impartial enquiry, scrutiny, advice and recommendation.
8. The Panel does not receive any payment for the time or work that it expends in undertaking the annual review of Members' Allowances.

TERMS OF REFERENCE

9. For the purposes of this review and due to the appointment of the Panel after the Council had already agreed its budget for 2017/18, we have been asked to confine our considerations and make recommendations to the Council on the following matters only:
 - a) The amount of Basic Allowance payable to all Council members;
 - b) The roles of Council members which should receive a Special Responsibility Allowance (SRA) and the amount of that allowance;

- c) Whether adjustments to the level of allowances may be determined according to an index and, if so, which index and how long that index should apply, subject to a maximum of four years before its application is reviewed; and
- d) Whether the rules relating to payments of Special Responsibility Allowances (SRAs) should be varied.

PRINCIPLES UNDERPINNING OUR REVIEW

- 10. The Panel has sought to reflect the views of ordinary ratepayers in considering its recommendations. It aspires to a Scheme¹ that is both fair to members and seen to be fair by council taxpayers.

CURRENT SCHEME

- 11. The (previous) Panel's last review of Members' Allowances took place in December 2015, when it recommended that the Basic Allowance payable to all members of Spelthorne Borough Council should be £4,550 per annum from 1 April 2016, an increase of £612 in the Basic Allowance.
- 12. After some delay, the Panel's report came before the Council on 21 July 2016. The Council did not agree with the Panel's recommendation and decided to increase the Basic Allowance to £5,785. It also varied from the Panel's recommendation on the Leader's SRA which it agreed to increase to £13,306.

SOURCES OF INFORMATION FOR 2017/18

- 13. The Panel met with the Leader to discuss its preliminary recommendations on the Scheme for 2017/18 and listen to his view. The purpose of the meeting was to invite comments and no negotiations or decisions were made. The Panel found the discussions useful and is grateful to the Leader for his contributions which have assisted its deliberations.
- 14. The Panel was also provided with:
 - Background information about the Council against which this review is undertaken, including but not restricted to:
 - the Council's reducing revenue grant
 - property acquisitions made and planned, to help fill budget gap
 - Surrey County Council cuts and impact on Borough Council provision of services that the County Council withdraws from
 - Fire Station relocation and changes to the Fire Service in Spelthorne
 - Change to Universal Credit and resultant loss of income to Borough residents
 - Members allowances increases in comparison with staff pay increases
 - Elected Councillor is a public service role (Basic Allowance includes a discount of 33% for the voluntary public service element)
 - The Basic Allowance compensates for financial loss incurred in undertaking the role of councillor

¹Proposed Scheme for April 2017 is attached at Annex 1

- The current Members' Allowances Scheme
- Spelthorne Borough Council's ranking for Basic Allowance and SRAs against other Surrey Boroughs and Districts in 2016/17.
- Terms of Reference of the Spelthorne Joint Committee (with Surrey County Council)

CONSIDERATIONS AND RECOMMENDATIONS

Basic Allowance

15. The Scheme must include provision for a Basic Allowance, payable at an equal flat rate to all councillors.²
16. The Basic Allowance is intended to recognize the time commitment of all councillors including such inevitable calls on their time as attending Council and other formal meetings, training/briefings, civic events and political group meetings and undertaking general constituency work. It is also intended to cover incidental costs such as the use of their homes and telephones.

Comparison to Surrey Boroughs and Districts

17. We noted how Spelthorne's current Basic Allowance compares to the other Surrey Boroughs and Districts.

Council	Basic Allowance (£) 2016-17 ⁶
Woking Borough Council	7200
Guildford Borough Council	6616
Spelthorne Borough Council	5785
Reigate & Banstead Borough Council	5388
Surrey Heath Borough Council	4990
Waverley Borough Council	4619
Elmbridge Borough Council	4395
Mole Valley District Council	4201
Tandridge District Council	4068
Epsom & Ewell Borough Council	3341
Runnymede Borough Council	3215

18. The Panel noted the Basic Allowance payments made by other councils in 2016/17 and that as a benchmark Spelthorne is performing well against them.
19. The Panel noted that members' allowances had developed an accumulated shortfall during the period 2009/10 to 2015/16, as a result of the Council not making any increases but that this had been redressed in 2016 increasing the level of allowances

²The Local Authorities (Members' Allowances) (England) Regulations 2003: Part 2, Regulation 4. (1)(a)

compared to the other Surrey authorities to a better position than they had been in 2008.

20. The Panel is of the opinion that the uplift in members' allowances in 2016 represented a 'catch-up' rather than an increase in the level of allowances. It is persuaded that an increase in the Basic Allowance for 2017 which closely reflects the cost of living increase over the 12 months to April 2017 would be both fair and reasonable.
21. According to the Office of National Statistics the CPI (Consumer Price Index) for the period April 2016 to April 2017 stands at 2.7%.
22. The Panel recommends an increase of 2% in the Basic Allowance.
23. The Panel notes that this increase will be at the same level as the staff pay increase for 2017/18 but comments that it does not intend to formally commit to an index on the basis of staff pay increases for future years, at this time.
24. It may at a future point return to this issue to consider if the level of staff pay increases is a useful index for Members' allowances.
25. In making its recommendation the Panel has sought to maintain a sensible balance between:
 - (a) the financial constraints facing the Council due to the fall in Government Grant during the years 2016-2020 which will continue to be a pressure for Council finances;
 - (b) the need to maintain a Scheme which is fair, easy to understand and straightforward to administer; and
 - (c) the need to ensure the level of remuneration is sufficient to allow existing councillors to fulfil their role successfully.³

RECOMMENDATION

The Panel recommends that the Basic Allowance payable to all members of Spelthorne Borough Council should be £5901 per annum from 1 April 2017.

Special Responsibility Allowances

26. An SRA may be paid to recognize the significant additional time and responsibility that certain roles in the Council require of councillors. The payments for SRAs do not have to be the same across different roles. SRAs do not have to be paid but there is a requirement that, if they are paid, at least one Member of a minority group should receive an SRA.
27. The 2003 Regulations do not limit the number of SRAs which may be paid, nor do they prohibit the payment of more than one SRA allowance to any one Member. The Regulations specify the categories of role which the Council may make provision for paying an SRA. Amongst these is: chairing meetings of a council committee or a sub-committee, or a joint committee of the council and one or more other authorities, or a sub-committee of such a joint committee.

³ Rodney Brooke and Declan Hall, *Members' Remuneration: Models, Issues, Incentives and Barriers*. London: Communities and Local Government, 2007.

28. Under the current Scheme of allowances for Spelthorne there are 5 categories for Special Responsibility Allowances which are paid to a total of 14 councillors:
- Leader (1)
 - Deputy Leader (1)
 - Cabinet Member (7)
 - Chairman (Planning, Licensing, Audit and Overview and Scrutiny Committees) (4)
 - Opposition Group Leader (1)
29. The Panel agreed that these roles should continue to be awarded an SRA in recognition of those councillors with significant additional responsibilities.
30. The Panel noted the comments of the Leader with regards to the increased responsibilities that some councillors in receipt of SRAs had experienced in the last year as the Council was forced to expand its activities to meet funding gaps. The Panel will consider these extra responsibilities in more depth when it undertakes the Review for 2018/19.
31. For this review, the Panel recommends a cost of living increase across all SRAs of the same percentage as the Basic Allowance of 2%. This is considered to be both fair and reasonable for the purposes of this review.

RECOMMENDATION

The Panel recommends that all Special Responsibility Allowances should be increased by 2% from 1 April 2017.

Spelthorne Joint Committee

32. The Panel was advised that since the last review took place Spelthorne Borough Council and Surrey County Council had set up a Joint Committee. The new Committee was operational from the end of December 2016 and membership consists of all the county councillors with electoral divisions in Spelthorne, one Surrey County Council Cabinet Member and an equivalent number of borough councillors at least one of whom is a member of the Borough Council's Cabinet.
33. The Panel noted that the Chairmanship and Vice-Chairmanship of the Joint Committee (a Surrey County Councillor and a member of the Borough Council's Cabinet) will rotate between the two Councils every two years. The current Chairman is the Borough Council's Leader, Councillor Harvey.
34. The Panel considered whether there was a significant additional responsibility attached to the role of Chairman/Vice-Chairman of the Spelthorne Joint Committee which warranted an SRA and if so, the amount of those allowances.
35. The Panel considered the functions and responsibilities of the Joint Committee and listened to the Leader's comments about his role as Chairman/Vice-Chairman of the Joint Committee and what this involved in terms of responsibility and time commitment.
36. The Panel was initially concerned that the available time for the Leader to spend on Council work was finite and that in order to undertake this new role he must necessarily be spending less time on his work for the Borough Council in his role as the Leader of the Council. However, the Panel was impressed by the Leader's

representations to the contrary and was persuaded by his comments that he takes whatever time and effort is necessary to fulfil all his responsibilities diligently; one is not sacrificed for another.

37. It is persuaded for the following reasons that there is a significant additional responsibility attached to the role of Chairman/Vice-Chairman of the Spelthorne Joint Committee which warrants an SRA:
- Through the Joint Committee the Borough Council:
 - ❖ formally makes decisions in relation to specified Surrey County Council functions and
 - ❖ has an influencing role on everything else that the County Council is responsible for;
 - The Joint Committee brings Borough Councillors into areas that were formerly only within the remit of Surrey County Councillors; and
 - The Borough Councillor fulfilling the role of Chairman/Vice-Chairman of the Joint Committee is accountable for a wider range of issues and is expected to deliver more outcomes for the Spelthorne community, than when they are acting as a Borough Councillor.
38. The Panel recommends a new Special Responsibility Allowance for the role of Chairman/Vice-Chairman of the Spelthorne Joint Committee when that role is filled by a member of Spelthorne Borough Council Cabinet, for inclusion in the Scheme from 2017/18.
39. In considering the allowance to be paid to the Councillor fulfilling this role, the Panel noted the allowances paid by Surrey County Council when its member is appointed to the role of Chairman/Vice-Chairman. In 2017/18, these allowances are £8015 for the role of Chairman and £1500 for the role of Vice-Chairman.
40. The Panel was persuaded that the Borough Councillor fulfilling the role of Chairman of the Joint Committee would spend an equivalent amount of time and effort and have comparable responsibilities as the Surrey County Councillor when he/she held the same position.
41. The Panel is of the opinion, as it is likely the same Borough Councillor will fulfil the roles of Chairman and Vice-Chairman in successive years that the Vice-Chairman is likely to work as hard in his role as when holding the position of Chairman.
42. The Panel is therefore recommending an equal payment of an SRA to the role of Chairman and Vice-Chairman of the Joint Committee which is half the total amount paid by Surrey County Council to the role of Chairman and Vice-Chairman when its member holds those roles. i.e. $£8015 + £1500 = £9515 \div 2 = £4758\text{pa}$ (*rounded up*)

RECOMMENDATION

The Panel recommends that the roles of Chairman and Vice-Chairman of the Spelthorne Joint Committee be entitled to a Special Responsibility Allowance and that the amount of the allowance paid to each of those roles be set at £4758 from 1 April 2017.

Rules on claiming Special Responsibility Allowances

43. As the Chairman and Vice-Chairman of the Joint Committee appointed from the Borough Council members will always be a member of its Cabinet, that member will inevitably already receive an SRA.
44. The current Scheme, approved by successive councils, however, states that, “No one member should be entitled to receive more than one Special Responsibility Allowance”.
45. The Panel noted guidance that supports the Regulations and which indicates that there are important considerations for Local Authorities in relation to SRAs.
46. The ‘one SRA only’ rule improves the transparency of the scheme of allowances. If a councillor is able to receive more than one SRA then the public is unable to ascertain the actual level of remuneration for an individual councillor from a reading of the Scheme of Allowances. The ‘one SRA only’ rule is common practice for many Councils.
47. In view of the Panel’s conclusion that the role of Chairman/Vice-Chairman merits an SRA it recommends that the ‘one SRA only’ rule be waived only in the situation where the Chairman/Vice-Chairman of the Joint Committee is a Borough Councillor already in receipt of an SRA under the Scheme.
48. A second rule in relation to SRAs in the current Scheme states that, “no more than one third of all councillors should be in receipt of Special Responsibility Allowances at any given time.” There are 39 councillors so one third equates to 13.
49. The Guidance states that “If the majority of Members of a Council receive an SRA the local electorate may rightly question whether this was justified. Local Authorities will wish to consider very carefully the additional roles of Members and the significance of these roles both in terms of responsibility and real time commitment before deciding which will warrant the payment of the SRA.”
50. The Panel notes that the number of councillors in receipt of an SRA now stands at 14 (see paragraph 28). The Leader has found it necessary to recently appoint an additional Cabinet member which has taken the total number of councillors in receipt of an SRA to one higher than the ‘one third rule’ allows. The Panel notes that in previous years there had been 14 councillors receiving an SRA although this had dropped back to 13 before the next review of Members’ Allowances was undertaken, so the current situation is only restoring what had previously existed. At this review the Panel has recognised the role of Cabinet member as having significant additional responsibilities which merit the award of an SRA (paragraph 29). In these circumstances the Panel considers it would be unfair to have one Cabinet member who was not in receipt of an SRA. The Panel is satisfied that the ‘one third rule’ is a fair rule to bear in mind as a guideline and although generally sensible in restricting expenditure and guarding against a proliferation of SRAs, notes that it might have to waive it in future similar circumstances.
51. The Panel therefore approves the payment of SRAs to 14 councillors in the present circumstances and recommends that the ‘one third rule’ be maintained as a standard

to adhere to as closely as possible, in order to guard against a proliferation of SRAs , rather than a hard and fast rule to which it must abide.

RECOMMENDATION

The Panel recommends the following changes be made to the Scheme of Members' Allowances in relation to the rules on claiming Special Responsibility Allowances:

- a) **that the 'one SRA only' rule be waived only in the situation where the Chairman/Vice-Chairman of the Joint Committee is a Borough Councillor already in receipt of an SRA under the Scheme.**
- b) **that the 'one third' rule be maintained as a standard by which the Panel will consider if it is happy with the numbers of SRAs designated, rather than a hard and fast rule to which it must abide.**

INDEXING

52. A scheme of allowances may make provision for an annual adjustment of allowances in line with a specified index. The Panel considered whether to recommend such an index to the Basic Allowance and the Special Responsibility Allowances. However, as stated at paragraph 22, the Panel has decided not to commit itself to an index at this time, but will review the matter again when it undertakes a more in-depth review for 2018/19.

OTHER ALLOWANCES

53. The Panel does not propose at this time to make any changes to the existing arrangements for the other allowances payable under the Scheme, which includes:
 - Co-optees allowance
 - Dependants' carer's allowance
 - Travel and subsistence allowance

SUMMARY OF PANEL'S RECOMMENDATIONS

The Panel makes the following recommendations to the Council on the Members' Allowances Scheme for 2017-2018:

Allowance	Current amount	Number	Recommended Allowance for 2017/18
Basic (BA):	£5785	39	£5901
Special Responsibility:			
Leader of the Council	£13306	1	£13572
Deputy Leader	£8782	1	£8958
Cabinet Members	£6653	7¹	£6786
Spelthorne Joint Committee Chairman/Vice-Chairman	N/A	1	£4758
Planning Committee Chairman	£5322	1	£5428
Licensing Committee Chairman	£4657	1	£4750
Overview and Scrutiny Committee Chairman	£4657	1	£4750
Audit Committee Chairman	£3327	1	£3394
Opposition Group Leader	£3100	1	£3162
Co-Optees' Allowance	£1000 (Chair) £500 (Vice-Chair)	1 1	£1000 (Chair) £500 (Vice-Chair)
Total Budget	£316, 837		£327,913

¹ Based on the existing Cabinet and excluding the Leader and Deputy Leader

Allowance for expenditure incurred in relation to Approved Duties (Schedule 1 to Scheme)	Unchanged allowances for 2017/18
Dependants' Carer's Allowance	Reimbursement of actual costs incurred

Travelling and Subsistence Allowances	
Motor Mileage Allowance (per mile)	
Cars	Up to 999cc – 46.9p 1000cc – 1199cc – 52.2p 1200cc and over – 65p
Motorcycles	24p
Cycle	Nil
Day Subsistence Allowance	Reimbursement of actual costs incurred

Other Recommendations in relation to the Members' Allowances Scheme 2016/17

Page 8	<p>The Panel recommends that the following changes be made to the Scheme of Members' Allowances in relation to the rules on claiming Special Responsibility Allowances:</p> <p>a) that the 'one SRA only' rule be waived only in the situation where the Chairman/Vice-Chairman of the Joint Committee is a Borough Councillor already in receipt of an SRA under the Scheme.</p> <p>b) that the 'one third' rule be maintained as a standard by which the Panel will consider if it is happy with the numbers of SRAs designated, rather than a hard and fast rule to which it must abide.</p>
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**Sir Ivan Lawrence (Chairman)
George McLaughlin
Colin Squire**

19 July 2017

Cabinet**19 July 2017**

Title	Appointments to Outside Bodies and Working Groups for 2017-18		
Purpose of the report	To make a decision		
Report Author	Gill Hobbs		
Cabinet Member	Councillor Ian Harvey	Confidential	No
Corporate Priority	This item is not in the current list of Corporate priorities but still requires a Cabinet decision		
Recommendations	The Cabinet is asked to appoint representatives to the Outside Body and Working Group indicated in this report for 2017-18.		
Reason for Recommendation	The appointment of representatives to Outside Bodies and Working Groups helps the Council fulfil its community engagement role.		

1. Key issues

- 1.1 The annual appointment of representatives to Outside Bodies and Working Groups helps the Council fulfil its community engagement role.
- 1.2 Following the appointment of representatives to a number of outside bodies and Working Groups at the June meeting of Cabinet, two further bodies have been identified which require Cabinet appointments:
 - NHS North West Surrey Clinical Commissioning Group Sustainability and Transformation Plan Stakeholder Reference Group
 - Members Development Steering Group
- 1.3 The nomination of representatives and deputies to these two bodies will be circulated at the Cabinet meeting on 19 July.

2. Options analysis and proposal

- 2.1 This report seeks approval to appoint the nominated representatives (to follow) to the Outside Body and Working Group indicated above, for 2017-2018.

3. Financial implications

- 3.1 There are none.

4. Timetable for implementation

- 4.1 The appointments will be effective immediately until June 2018.

Background papers: There are none. **Appendices:** None

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