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Date: 19 April 2016

## Notice of meeting

### Cabinet

**Date:** Wednesday, 27 April 2016

**Time:** 7.00 pm

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

<b>The members of the Cabinet</b>	<b>Cabinet member areas of responsibility</b>
I.T.E. Harvey (Leader)	
A.C. Harman (Deputy Leader)	
M.M. Attewell	Community Wellbeing
C.B. Barnard	Corporate Management
N.J. Gething	Planning and Economic Development
A.J. Mitchell	Environment and Compliance
J.M. Pinkerton OBE	Housing
H.R.D. Williams	Finance and Customer Service

**Spelthorne Borough Council, Council Offices, Knowle Green**

**Staines-upon-Thames TW18 1XB**

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## **AGENDA**

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- |   |                |
|---|----------------|
| <b>1. Apologies for absence</b><br>To receive any apologies for non-attendance.   |                |
| <b>2. Minutes</b><br>To confirm the minutes of the Cabinet meeting held on 24 February 2016 and the Extraordinary Cabinet meeting held on 7 April 2016.                         | <b>1 - 12</b>  |
| <b>3. Disclosures of Interest</b><br>To receive any disclosures of interest from councillors in accordance with the Council's Code of Conduct for members.                      |                |
| <b>4. Recommendation from Audit Committee on Corporate Risk Management</b><br>Councillor Williams   | <b>13 - 28</b> |
| <b>5. Review of Waste Services and Vehicle Procurement - Key Decision</b><br>Councillor Mitchell  | <b>29 - 40</b> |
| <b>6. Health and Wellbeing Strategy 2016-2019 - Key Decision</b><br>Councillor Attewell   | <b>41 - 66</b> |
| <b>7. Review of the Constitution 2015</b><br>Councillor Harvey  |                |
| a) Recommendation of the Members' Code of Conduct Committee<br>To consider the recommendation of the Members' Code of Conduct Committee from its meeting held on 14 April 2016. | <b>67 - 68</b> |
| b) Report of the Monitoring Officer on the review of the Constitution 2015<br>To receive the report of the Monitoring Officer on the review of the Constitution for 2015.       | <b>69 - 76</b> |
| <b>8. Amendment to Pay Policy Statement</b><br>Councillor Barnard   | <b>77 - 90</b> |
| <b>9. Leader's announcements</b><br>To receive any announcements from the Leader.   |                |

**10. Issues for future meetings**

Councillors are requested to identify any issues to be considered at future meetings.

**11. Urgent items**

To consider any items which the Chairman considers as urgent.

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**Minutes of Cabinet**

**24 February 2016**

**Present:**

Councillor I.T.E. Harvey, Economic Development and Fixed Assets  
Councillor A.C. Harman, Communications and ICT  
Councillor M.M. Attewell, Waste, Environment and Parking  
Councillor T.J.M. Evans, Finance  
Councillor V.J. Leighton, Planning and Corporate Development  
Councillor A.J. Mitchell, Community safety and Licensing  
Councillor J.M. Pinkerton OBE, Housing, health, wellbeing, Independent  
Living and Leisure

**Apologies:**

There were none.

**Councillors in attendance:**

Councillor Barnard  
Councillor Gething  
Councillor Williams

**2239 Minutes**

The minutes of the Cabinet meeting held on 27 January 2016 were agreed as a correct record.

**2240 Minutes of the Leader's Decision meeting**

Cabinet noted the minutes of the Leader's decision meeting held on 18 January 2016.

**2241 Disclosures of Interest**

There were none.

**2242 \*Capital Programme 2016-2017 to 2019-20 - Key Decision**

Cabinet considered a report on the Capital Programme for 2016-17 to 2019-20.

**RESOLVED TO RECOMMEND** that Council:

- Considers and approves the Capital programme for 2016-17 to 2019-20.
- Considers and approves the Prudential Indicators for 2016-17 to 2019-20.

**Reason for the decision:**

Cabinet noted that there were sufficient resources to fund the programme up to the end of 2019-20. Cabinet also noted that the Laleham Park upgrade (para 1.6a page 8) will go ahead in the 2016-17 year.

**2243 Review of Parking Orders - Key Decision**

Cabinet considered a report on a review of parking orders.

**RESOLVED** that Cabinet:

- Authorises the Head of Sustainability and Leisure to proceed with proposals made in this report.
- Authorises the Head of Corporate Governance to publish a notice of proposal to advertise the proposed changes.
- Delegates authority to the Head of Corporate Governance, in consultation with the Head of Sustainability and Leisure and the Cabinet Member for parking services to deal with any responses to the proposed changes.
- Delegates authority to the Head of Sustainability and Leisure, in consultation with the Cabinet Member for parking services, to amend the proposals following consultation.
- Authorises the Head of Corporate Governance to publish a notice of making once the final decision is made.
- Agrees the changes to the operational policy.

**Reason for the decision:**

Cabinet noted that there is a cost to maintaining and operating car parks, and striking the balance between covering costs and the provision of a good service is important.

**2244 Fees and Charges 2016-2017 - Key Decision**

Cabinet considered a report on the schedule of the proposed fees and charges to be levied from 1 April 2016 for 2016-17.

**RESOLVED** that Cabinet approves the fees and charges for 2016-17 as set out in Appendix A of the report, subject to consideration and approval of the Caravan Site Fee policy in relation to the fees proposed under the Mobile Homes Act 2013.

**Reason for the decision:**

Cabinet noted that, in the current challenging economic climate, the Council has to perform a balancing act between trying to maximise the additional income that can be generated through fees and charges, but at the same time be careful in setting fee levels which are sustainable and will not adversely impact on its overall income levels. It also needs to be mindful of the impact on residents and the local business community.

**2245 \*Revenue Budget 2016-2017 - Key Decision**

Cabinet considered the report of the Chief Finance Officer on the detailed Revenue Budget for 2016-17.

**RESOLVED TO RECOMMEND** that Council approves:

1. The growth and savings items as set out in the report's appendices.
2. The Council tax Base for the whole council area for 2016-17.[Item T in the formula in Section 31b(3) of the local government Finance Act 1992, as amended (the "act")] should be 38,308.40 band D equivalent dwellings and,
  - 2.1 Calculate that the Council tax requirement for the Council's own purpose for 2016-2017 is £187.44 Per Band D equivalent dwelling.
3. To approve a 2.7% increase in the Spelthorne Borough Council element of the Council tax for 2016-17. Moreover:
  - a) The revenue estimates as set out in Appendix 1 be approved.
  - b) No Money, as set out in this report is appropriated from General Reserves in support of Spelthorne's local Council tax for 2016/17.
  - c) To agree that the council tax base for the year 2016/17 is 38,308.40 band D equivalent dwellings calculated in accordance with regulation 3 of the Local Authorities (Calculation of Council tax base) Regulations 1992, as amended, made under Section 35(5) of the Local Government Finance Act 1992.

That the following sums be now calculated by the Council for the year 2016/17 in accordance with Section 31 to 36 of the Local Government Act 1992.

<b>A</b>	<b>71,233,115</b>	<b>Being the aggregate of the amount which the council estimates for the items set out in Section 31A (2) of the Act taking into account all precepts issued to it by Parish Councils.</b>
<b>B</b>	<b>64,052,589</b>	<b>Being the aggregate of the amount which the Council estimates for the items set out in Section 31A(3) of the Act</b>
<b>C</b>	<b>7,180,526</b>	<b>Being the amount at 3(c) above (Item R), all divided by</b>

		<b>Item T (2 above) calculated by the Council in accordance with Section 31B(1) of the Act, as the basic amount of its Council tax for the year (including Parish precepts)</b>
<b>D</b>	<b>187.44</b>	<b>Being the amount at 3(c)above(item R), all dividend by item T(2above) calculated by the Council in accordance with Section31B(1) of the act, as the basic amount of its Council Tax for the year(including Parish precepts)</b>
<b>E</b>	<b>0</b>	<b>Being the aggregate amount of all special items (Parish precepts) referred to in Section 34(1) of the Act.</b>
<b>F</b>	<b>187.44</b>	<b>Being the amount at 3(d) above less the result given by dividing the amount at 3 (e) above by Item T (2 above), calculated by the Council, in accordance with Section 34(2) of the Act, as the basic amount of its Council Tax for the year for dwellings on those parts of its area to which no Parish precept relates.</b>



All newly built commercial property completed between 1<sup>st</sup> October 2013 and 30 Sept 2016 will be exempted from empty property rates for the first 18 months, up to the state aid limit.

A 50 per cent business rates relief for 18 months between 1<sup>st</sup> April 2014 and 31<sup>st</sup> March 2017 for businesses that move into retail premises( excluding banks, building societies and betting shops) that have been empty for a year or more.

That the following amounts be calculated for the year 2016/17 in accordance with Sections 31 to 36 of the Local Government Finance Act 1992 as amended by the Localism Act 2011.

A	B	C	D	E	F	G	H
£	£	£	£	£	£	£	£
124.96	145.79	166.61	187.44	229.09	270.75	312.40	374.88

Being the amounts given by multiplying the amount at (e) above by the number which in the proportion set out in Section 5(1) of the Act, is applicable to dwellings listed in a particular valuation band divided by the sum which in that proportion is applicable to dwellings listed in valuation band 'D', calculated by the Council, in accordance with Section36(1) of the Act, as the amounts to be taken into account for the year in respect of categories of dwellings listed in different band.

That it be noted that for the year 2016/17 Surrey County Council (SCC) and Surrey Police and Crime Commissioner (SPCC) have stated the following amounts in precepts issued to Spelthorne Borough Council in accordance with Section 40 of the Local Government Finance Act 1992 for each of the categories of dwellings shown below:

**Precepts issued to the Council**

	A	B	C	D	E	F	G	H
	£	£	£	£	£	£	£	£
1) SCC	845.52	986.44	1127.36	1268.28	1550.12	1831.96	2113.80	2536.56
2) SPCC	146.79	171.26	195.72	220.19	269.12	318.05	366.98	440.38

That, having calculated the aggregate in each case above the Council in accordance with Sections 30 and 36 of the Local Government Finance Act 1992 as amended by the Localism Act 2011, hereby sets the amounts set out in Appendix 6 as the amounts of Council tax for the year 2016/17 for each of the categories of dwellings on Appendix 3.

The Council has determined that its relevant basic amount of Council Tax for 2016/17 is not excessive in accordance with the principles approved under Section 52ZB Local Government Finance Act 1992.

As the billing authority, the council has not been notified by a major precepting authority that its relevant basic amount of Council Tax for 2016/17 is excessive and that the billing authority is not required to hold a referendum in accordance with Section 52ZK Local Government Finance Act 1992.

**2246 Annual Grants awards 2016-17**

Cabinet considered a report on the proposed grants awards for 2016-17.

**RESOLVED** that Cabinet:

- Agrees the grants awards for 2016-17.
- Notes all other support to the voluntary, charity sector.
- Notes the performance of our key partners (over £10k per annum).

**Reason for the decision:**

Cabinet noted the essential role played by the voluntary sector in the provision of services for local people.

**2247 Spelthorne Sustainability Strategy 2016-2019**

Cabinet considered a report on the updated Spelthorne Sustainability Strategy for 2016-2019 and action plans.

**RESOLVED** that Cabinet endorses the updated Spelthorne Sustainability Strategy for 2016-19 as a whole along with the action plans.

**Reason for the decision:**

Cabinet noted that sustainability needs to be incorporated into all aspects of work and business so that we can prepare ourselves, our communities, local businesses and residents from volatile economic conditions whilst also protecting our environment and social resources. This is of significant importance in the current economic climate.

**2248 Grazing in Sunbury Park**

Cabinet considered a report on grazing in Sunbury Park.

**RESOLVED** that Cabinet agreed to the grazing of Sunbury Park in 2016 between April and June with an increased period of grazing in subsequent years.

**Reason for the decision:**

Cabinet noted that grazing of the park was suggested by Surrey Wildlife Trust as far back as 2008 under their conservation management plan which reviews possible ways to improve biodiversity in the park.

**2249 Food and Health & Safety Service Plans**

Cabinet considered a report on the proposed food and health and safety service plans for 2016-17.

**RESOLVED** to adopt the proposed food and health and safety service plans for 2016-17.

**Reason for the decision:**

Cabinet noted that Local Authorities are required by the Food Standards Agency and the Health and Safety Executive to produce annual service plans for their food safety and health and safety services.

**2250 Leader's announcements**

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

Spelthorne Council has secured the conviction of an Ashford man for fraudulently claiming benefits. Abdur Rahman, of St Margarets Avenue in Ashford, appeared at Guildford Crown Court on 29 January after pleading guilty to fraudulently claiming Housing Benefit between April 2007 and October 2014 and Council Tax benefit between January 2005 and October 2008. Mr Rahman was given an eight-month suspended prison sentence, and was ordered to repay £24,511.17 and the Council's costs of £1,916.

A planning application (Ref **15/01718/FUL** and **15/01718/LBC**) has been submitted by Bellway Homes for the redevelopment of the Bridge Street car park site. The application is for 205 residential units (a mix of 1, 2, and 3 beds) plus 358 square metres of restaurant/retail space, a residents' gym, 140 parking spaces and open space/landscaping through the site and down to the River Thames. The building heights vary from 4 stories to a 12 storey tower on the corner closest to the bridge. Consultation letters have been sent to local residents and the application will be considered by the Planning Committee in due course.

Over 30 people attended a welding workshop at the Greeno Shed in Shepperton on 27 January. The Shed opened last July with the aim of providing a regular social activity for people who enjoy making and mending things. Thanks to a grant from The Rotary Club of Shepperton Aurora and training from Supercraft in Byfleet, the group have been able to add MIG welding equipment to their list of kit.

In the run up to Valentine's Day residents were reminded to check the food hygiene ratings before choosing where to eat. Food businesses should display a sticker showing their rating but residents can also check this information online. Currently in Spelthorne, 52% of food businesses are rated as very good and 82% are rated as satisfactory, good or very good.

A natural play area has been installed in Orchard Meadow in Sunbury-on-Thames. Designed for children aged under 11, it includes climbing logs, play boulders and a balance structure, all made from robinia wood. The Council received external funding for the project from Surrey County Council's Community Improvement Fund and Fields in Trust.

Work is well underway on the Bulletin magazine which is due to be delivered to residents from Saturday 19 March. It includes articles on the Surrey Youth Games, Staines Moor and the development of Bridge Street car park in Staines-upon-Thames.

Communications are working with Independent Living to produce an A-Z guide of services for older people.

Spelnet, the Council's intranet, has undergone a redesign and will go live next week.

The Environmental Health and Licensing teams have started a hot desking trial which will help with planning the Council's office relocation.

Environmental Health are preparing for the introduction of new laws which will require all dogs to be microchipped from April. The team will also take on new responsibilities regarding the licensing of park homes.

The Environment team is working with Action Surrey and local GP surgeries to help ensure the homes of older vulnerable residents are kept warm.

The new fortnightly small electricals collection service launched in December (alongside textile collections) and roadshows are being held at supermarkets and primary schools to promote the new services.

The recycling rate for the second financial quarter of 2015/16 was 44%. The target is to achieve 50% by 2020.

The cumulative Council Tax collection rates up to the end of January were:-

- Council Tax: 96.7% (96.7% sply)
- Council Tax Support: 77.5% (73% sply)
- Business Rates: 92.53% (91.08% sply)
- Business Rates growth 0.12%

## **2251 Issues for future meetings**

There were none.

## **2252 Urgent items**

There were none.

### **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 three 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 three 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 (to be completed)***

## **Minutes of Extraordinary Cabinet**

**7 April 2016**

### **Present:**

Councillor I.T.E. Harvey, Leader  
Councillor A.C. Harman, Deputy Leader  
Councillor M.M. Attewell, Community Wellbeing  
Councillor C.B. Barnard, Corporate Management  
Councillor N.J. Gething, Planning and Economic Development  
Councillor A.J. Mitchell, Environment and Compliance  
Councillor J.M. Pinkerton OBE, Housing  
Councillor H.R.D. Williams, Finance and Customer Service

### **Councillors in attendance:**

Councillor H.A. Thomson

### **2253 Disclosures of Interest**

There were none.

### **2254 Acquisition of properties in the Borough**

The Cabinet considered the report of the Regeneration Manager and the Joint Head of Asset Management on property acquisitions in the Borough.

The report, which was linked to the 'use of assets and income generation' strand of the Council's transformation programme - known as 'Towards a Sustainable Future', considered an opportunity to build additional sources of revenue income for the Council whilst also helping to alleviate the increasing pressures being placed on affordable housing provision, and the rising costs of assisting homeless families.

The Cabinet considered the options in the main body of the report.

### **Resolved:**

#### **Property One**

1. To agree the level of offer which has been put in for the purchase and conversion of property one; and
2. To give delegated authority to the Deputy Chief Executive, (Terry Collier) to undertake any necessary subsequent negotiations and to purchase (in consultation with the Leader and the Cabinet Member for Finance).

#### **Property Two**

3. To agree the level of offer for the purchase and upgrading of property two; and

4. To give delegated authority to the Deputy Chief Executive, (Terry Collier) to submit the offer and undertake any necessary subsequent negotiations, and purchase (in consultation with the Leader and the Cabinet Member for Finance).

**Generally**

5. To approve the setting up of a Local Authority Trading Company Knowle Green Estates, as a 100% property trading company owned by the Council, as a potential vehicle to purchase and hold the properties; and
6. To give delegated authority to the Deputy Chief Executive, (Terry Collier) in consultation with the Leader and the Cabinet Member for Finance, and subject to taxation advice, to decide if the properties will be held by the Council or its property trading company

**Reason for Decision**

The acquisition of two properties in the Borough will help provide accommodation to alleviate the increasing pressures being placed on affordable housing provision, and the rising costs of assisting homeless families, as well as an income stream to the Council and an opportunity to increase its asset base.

With respect to property one: this will provide the Council with a building which can then be used to provide a large number of family sized two bedroom units of affordable housing which will help meet the needs of Spelthorne residents.

With respect to property two: this will provide the Council with a building which can be upgraded and then used to provide temporary emergency accommodation to help meet the needs of Spelthorne residents.

The setting up of a Local Authority Trading Company will allow greater flexibility in the types of tenure that may be offered to potential tenants.



**Cabinet**

**27 April 2016**



<b>Title</b>	Corporate Risk Register		
<b>Purpose of the report</b>	To note		
<b>Report Author</b>	Punita Talwar, Internal Audit Manager		
<b>Cabinet Member</b>	Councillor Howard Williams	<b>Confidential</b>	No
<b>Corporate Priority</b>	This item is not in the current list of Corporate priorities but still requires a Cabinet decision		
<b>Cabinet Values</b>	Accountability		
<b>Recommendations</b>	<b>Cabinet is asked to note the Corporate Risk Register, as submitted, as an accurate reflection of the current high level corporate risks affecting the Council.</b>		

**1. Key issues**

- 1.1 The Council's Risk Management Policy/Strategy was approved by the Executive in 2002. The Audit Committee is responsible for considering the effectiveness of the authority's risk management arrangements, and receives regular reports on risk issues.
- 1.2 The Audit Committee reviewed the revised Corporate Risk Register (attached) at its meeting on 24 March 2016 and noted and accepted the contents. 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.

**2. Audit Committee Recommendation**

- 2.1 The Audit Committee recommends to the Cabinet: -  
That the Corporate Risk Register, as submitted, be approved

**Appendices: Appendix 1 – Corporate Risk Register**

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

## 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.

Reviewed March 2016

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

RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	1. Health and Safety failing resulting in death or serious injury to staff /public and legal action against the Council	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.	<i>1i. Risk assessments for all Services are to be reviewed, and updated details entered onto the SHE system. 1ii. Annual checklist and instructions for Managers being prepared. 1iii. Whilst the risks associated with not implementing a robust Inspection regime across the authority have been accepted by Management Team, this risk/issue should be subject to periodical review.</i>	MAT/ All Service Heads HSIRM*	30 April 2016 *R Requires Monitoring	Internal Audit cross cutting review of Health and Safety carried out in November 2015. The Health and Safety Manager is preparing an annual checklist and instructions for Managers that will facilitate in addressing the internal audit recommendations (draft audit report issued Dec 2015). One of the main issues highlighted in the audit is that due to resourcing limitations a robust system of inspections has not been implemented by Managers across the whole of the Authority, potentially exposing the Authority to claims both internally and externally. The absence of Inspections in certain areas and the associated risks have been accepted by Management Team.
	2. Uncertainty surrounding the financial /economic/other consequences of contaminated land. Legal action against the Council.	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 issued to Management Team and Cabinet.	<i>The Contaminated Land Strategy to be finalised and approved by Cabinet.</i>	DCX (LO)/SEHM*	30 May 2016 *R Requires Monitoring	Contaminated land risk assessment reviewed by TWF and remains valid at 01/02/2016. This risk assessment is due for formal review in November 2016.

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

RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	3. Disaster- major in borough, e.g. flooding, resulting in significant strain on council services (eg homelessness).	4	Corporate Emergency Plan updated January 2016. Multi- agency flood plan completed December 2015. Membership of Local Resilience Forum (LRF). Regular testing of Emergency Assistance Centre plan. Borough Emergency Centre Plans.Suggested improvements to the Business Emergency Centre (BEC) partially implemented due to plans to vacate Knowle Green. Incident management training and exercising. Emergency Response requirements remain the responsibility of the authority.Contract agreement in place with Applied Resilience, with increased resilience and support for Emergency Planning.	3. <i>The Head of Sustainability and Leisure to monitor the agreement with Applied Resilience to ensure satisfactory outcomes and highlight any issues requiring attention.</i>	CX (RT)/ HOSL*	Ongoing Monitoring	Previous action implemented - the Corporate Emergency Plan was updated in January 2016 and the multi- agency flood plan completed in December 2015. Function being delivered via the Mutual Applied Resilience Service. The Head of Sustainability and Leisure meets monthly with Applied Resilience to monitor outcomes. The two DCX's have attended Multi-Agency Gold Command Courses.
	4. Failure to manage corporate and service performance / failure to meet Council objectives and targets (Performance Management)	3	The Corporate Plan should set out targets for the authority which should be monitored by Members and Management Team. Service performance should be monitored by Management Team. Individual performance is 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. Updates have been provided to Cabinet and the Audit Committee.	<i>Corporate Plan and priorities have been reviewed as a result of the new Council. The impact on ongoing projects, resources and Service Planning will need to be assessed.</i>	MAT / DCX LO	30 April 2016 Requires Monitoring	DCX (LO) liaising with the Leader.
	5. Failure to align service objectives to corporate aims and priorities / Failure to deliver services effectively due to poor service planning	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>Service Plans are due to be prepared for 2016/17, taking into account the new Corporate Plan and priorities. They will be made available on Spelnet, enabling other services to assess the likely impact.</i>	Service Heads/ MAT	30 April 2016 *O Requires Monitoring	
	6. Failure of projects due to poor project management arrangements. Lack of resource and expertise to deliver and coordinate	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. Corporate Project team is in place.	<i>1i. Many larger projects are asset related – this area will need to be kept under review due to limited resources in this area.</i>	MAT	Ongoing Monitoring	MAT reviewing Asset Management structure as part of 'Towards a Sustainable Future' (TaSF) programme. Additional resource to support the Joint Head of Asset Management. Proposed restructure promotes greater links between Planning, Asset Management and Economic Development.

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

RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
				<p>1ii Management team to consider limited capacity and revenue implications prior to approving additional / new projects.</p> <p>1iii. The Projects Assurance Officer to promote the importance of following correct procurement processes in delivering projects.</p>	MAT	Ongoing monitoring	Approx. 30 projects are currently being tracked through the Project Office and the TaSF programme. Collation of corporate project register by Service areas for 2015/16. The Project Assurance Officer will be focussing on procurement in the projects process during the coming months.
			<p>2. Staines upon Thames - The Head of Planning and Housing strategy has been appointed on a full time secondment as the Staines upon Thames regeneration manager with support from consultants. 5 work streams have been fully defined and documented. A conditional agreement was signed with the preferred developer for the Bridge Street site on 31 July 2015. The money the Council will receive is less than initially projected.</p>	<p>2. A number of procedural stages are being progressed associated with the sale of the Bridge Street site.</p>	STC & RM*	31st March 2016 *O Requires monitoring	<p>Head of Planning secondment extended to end of May. Planning application for Brtdge Street being considered at 9th March Planning Committee. The money from the sale of the Bridge Street site should be forthcoming mid/end July 2016</p>
			<p>3. Towards a Sustainable Future - The Head of Customer Services has mapped out a programme for this challenging initiative. This identifies roles, responsibilities, key deadlines, financial implications and risks. There are three work streams/mini programmes falling under the overall TaSF programme. Mapping of the individual projects under the three work streams. 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 directly to the Head of Customer Services who continues to oversee the direction of the programme. The Programme Brief has been approved by Cabinet and Overview and Scrutiny Committee. Review completed of document retention and electronic data management systems (see section 7).</p>	<p>3i. High level overview of the three work streams is underway to ensure cohesion and coordination.</p>	MAT	30 April 2016 * O Requires monitoring	<p>A slight decrease in the the number of TaSF projects with a green RAG rating mainly due to external factors causing delays. TaSF structural review underway with the recruitment and selection process planned to take place shortly.</p>

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RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	7. Security / data breaches, resulting in system failure, Information Commissioner fines and reputational damage.	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 satisfactorily conducted March 2014. Information Governance Group. Head of Corporate Governance is the Senior Information Risk Owner (SIRO). Removal of the Microsoft Outlook 'Auto-Complete' feature recommended.	<i>Information Governance Group to pursue action plan to ensure information assets are identified and managed.</i>	Head of CG *	31 May 2016 R* Requires Monitoring	The Information Governance Group now meet quarterly to discuss the necessary steps to be taken to address outstanding actions. MAT and Cabinet built into 16-17 budget growth for an Information Governance Officer to enable resource to be in place in to address the action plan.
	7. See above.			<i>The Council's project team is currently considering the document retention policy and alternative electronic document management systems which will help to strengthen information security.</i>	HoCS*/ MAT	31 May 2016 R* Requires Monitoring	The authority has decided on its approach to document management and implemented the first phase. The Idox document management system has been implemented for Environmental Health, Planning and Building Control with training being organised. Expanding Civica Contact Manager system. For internal Documents the plan is to review and rebrand Sharepoint.
	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.	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. CoCo re-accreditation achieved in January 2016. The Cabinet Office has increased security requirements due to the implementation of the Public Service Network (PSN).		Head of ICT *	Ongoing monitoring	Annual health check and security penetration test completed. CoCo submission to Cabinet Office in December 2015 and re-accreditation. Successful certification of Public Service Network (PSN) compliance gained on 16 January 2016 which is valid until 15 January 2017.

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RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	9. Lack of business continuity planning to cover loss of building, equipment, ICT or staff - leading to loss or disruption to services	3	Business Continuity (BC) Policy . The BC Forum oversees progress of BC planning. All Services should have up to date and tested BC Plans, but this is not the case currently. 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. Live loss and denial of access exercise for Knowle Green took place Sept 2013. Improvements made to telephony resilience. Contract agreement in place with Applied Resilience from September 2015 , with increased resilience and support for Business Continuity Planning (full time officer assigned). Updated staff contacts list.	<p><i>9i. Guidance to Services to update and test their Business Continuity plans will be a priority under the new service delivery model.</i></p> <p><i>9ii. The Head of Sustainability and Leisure is monitoring the agreement with Applied Resilience to ensure business continuity is delivered. 9iii. Business Continuity Policy to be updated.</i></p>	Service Heads/MAT/ Head of S & L *	30 April 2016 (R*). Requires Monitoring	Function being delivered via the Mutual Applied Resilience Service. The Head of Sustainability and Leisure meets monthly with Applied Resilience to monitor outcomes. Applied resilience are working closely with Services to update business impact assessments and following this task they will provide corporate steer and guidance on preparing business continuity plans and conducting testing exercises.
	10. Failure in service delivery due to over reliance on individuals	3	Service Heads/MAT are responsible for ensuring business continuity, including loss of key staff. Critical procedures should be documented and staff appropriately trained. Service Heads should review as part of the service planning process. Resilience may be provided from other local authorities or other organisations.	<i>MAT have reviewed structures as part of the budget saving exercise, and consideration is being given to resilience and succession planning arrangements.</i>	Service Heads/ MAT	Ongoing monitoring	Training has been provided to support staff during time of organisational change and Human Resources have asked Managers how they can be supported further.

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RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	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	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. Service review may be required to help match resources to the level of work. Resources need to be diverted to implementing new systems or introduce new ways of working. If resources cannot be enhanced, services will have to prioritise work to resources available. 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 and publications are also used as necessary to advertise posts. Human Resources have highlighted posts where recruitment has been challenging. Recruitment and Retention Policies requested from other authorities.	<p>11i. <i>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.</i></p> <p>11ii. <i>Human Resources to monitor the effectiveness of proposed changes to recruitment and selection methods, in collaboration with Services.</i></p> <p>11iii. <i>Human Resources are liaising with other authorities regarding their recruitment and retention policies, with a view to sharing best practice.</i></p>	Service Heads/ MAT/HRM	31 May 2016 * O Requires monitoring	MAT maintaining under review Towards a Sustainable Future (TSF) should help to address service levels/requirements and capacity issues. Ongoing recruitment problems in a number of areas despite incentives offered, for example, Housing, Environmental Health and Customer Services. This ultimately impairs Service delivery as well as having a consequential negative effect on other Services. There are proposals to target students and university graduates for certain roles and further consideration is being given to where posts are advertised.
	12. Low morale as a result of increasing service demand, lack of staff & finance and ongoing uncertainty due to delay in finalising organisational review/restructure/allocating positions. Increased turnover, high staff stress levels, risk of losing expertise and impact on services.	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 agreed by Members in February 2016.	<p>12i. <i>Management Team to keep under review, particularly in light of 'Towards a Sustainable Future'.</i></p> <p>12ii. <i>The recruitment process to the new Group Head positions is due to commence.</i></p> <p>12iii. <i>A peer review took place January 2014 and an action plan has been developed.</i></p>	MAT	31 May 2016 * O Requires monitoring	MAT maintaining under review. There is an ongoing risk of low morale and increased turnover during current times of uncertainty which MAT acknowledge. The TaSF Member task group have agreed to proceed with the planned TaSF Senior Management restructure, which has been on hold for the last few months. The recruitment process to the new Group Head positions will start shortly.
					DCX (LO)	30 April 2016 R* Requires Monitoring	An action plan has been produced by Management Team in consultation with the Leader, which is being progressed.



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RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	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.		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.	<i>The Council's Code of Corporate Governance is to be reviewed in 2016/17</i>	MAT	30 June 2016 R* Requires Monitoring	The review of the code of Corporate Governance is currently outstanding.
Page 21	14. Procurement - Weak governance arrangements and lack of transparency in procurement decisions. Contractual disputes and claims through poor specifications. Weak contract management resulting in Contractors/partners failing to deliver expected outcomes. Reputational damage and costly challenge by other companies. Financial loss/poor vfm as a result of poor contract management. Reliance on Legal for support on tendering processes/appointment of Contractors.	3	Contract Standing Orders set out tendering requirements. Officer Code of Conduct sets out requirement for declaration of interests. Contract guidelines with compliance checklist. Legal team provide support on contract management and major procurements. Contract management training held in 2012 and 2013. Specification writing training taken place. Procurement training 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. Procurement Board meet regularly.	<i>1i. Procurement, contract management and asset management expertise is limited across the authority and this is to be reviewed under the TaSF programme. 1ii. Procurement Board monitoring implications of the new UK Public Contract Regulations 2015 and implementation of the Local Government Transparency Code requirements. Guidance Notes to be issued in due course. 1iii. Leisure centre Contract ends 2021 so investigating options for replacement service.</i>	MAT DCX (TC)/ PS*	31 May 2016 *R Requires Monitoring	1i. Management Team has considered expertise and resources in these areas. Additional resource has been allocated to Asset Management. MAT are reviewing through TaSF and organisational restructures. 1ii. Ongoing monitoring of legislative changes by the Procurement Board. The Principal Solicitor will be issuing new guidance notes at a future Managers Briefing on the public sector and EU procurement regulations changes ( <b>awaiting update from PS</b> ). 1iii. Officers reported to Overview and Scrutiny Committee in January 2016 on the performance of significant contracts.

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RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
				<i>2. MAT will monitor the appointment of consultants and contractors for the Council's projects including Town Centre, Knowle Green and other initiatives to ensure full compliance with governance requirements</i>	MAT	31 May 2016 *R Requires Monitoring	2. MAT are monitoring.
	15.1 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 Allowance limited. A2D rents unaffordable. Insufficient affordable properties being built. Benefit Cap may effect up to 500 families.	3	Service 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) which will be fully realised if the roll out of Universal Credit is completed in 2017/18. This loss of subsidy may be spread over a longer period of time as completion of Universal Credit roll out slips. Accountancy have factored into outline budget projections and currently assume phase out by 2018/19. There is currently £2m 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 working with families affected by the benefit cap. Housing Company being set up. Close working with private landlords. New Landlord Guarantee scheme.	<i>15.1 i. The Corporate Debt Group have considered further measures to address the increasing level of Housing Benefit overpayments and Bed and Breakfast arrears, with the aim of improving recovery of these debts . 15.1.ii. A model for the strategic way forward in delivering the Housing function has been drafted and is to be discussed/agreed.</i>	MAT / Joint Heads of H & IL*	31 May 2016 Requires Monitoring	There is a continual increase (although has eased off slightly in the last few months) of households in bed and breakfast (with the added issue of overspend on the bed and breakfast budget) and the lack of resources to discharge duty. A number of options are now being pursued and MAT and the Leader are supportive of this approach. Cabinet support will be requested. Projects commenced to ensure strategies are followed. A model for the strategic way forward has been drafted. The Corporate Debt Group are appointing a Debt Recovery Consultant to coach and train officers dealing with the recovery of Housing Benefit Overpayments, Bed and Breakfast arrears and other debts.
	15.2 Introduction of Council Tax Support scheme has impacted on resources.	3	The council tax support scheme has generated a significant number of small council tax debts, which are difficult and time consuming to recover, impacting on resources. Recovery policy applied.	<i>2. Service Heads/MAT to monitor staffing and other resource implications as appropriate.</i>	DCX (TC)	Ongoing monitoring	Although CTS collection rates are still lower than overall collection rates, with the introduction of extra resources within recovery, the recovery rate has improved when compared to previous year. Collection rate for CTS as at 31.01.16 is 77.5% compared to 73%

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RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	16. Poor partnership governance arrangements	3	Partnership governance policy. Significant partnerships identified. Insurance arrangements in place	16i. <i>The Partnership Governance policy is due for review.</i>	MAT	30 June 2016 * O Requires monitoring	
Page 23	17. Uncertainty over economic growth and supplier failure, impacting on: <ul style="list-style-type: none"> <li>• Delivery of contracts and services</li> <li>• Business Rate income. SBC now bears a significant share of any losses on collection.</li> </ul>	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. DCLG Fraud funding for dealing with Business Rate avoidance and evasion cases during 2015/16. 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.	17i. <i>Impact of new Business Rate arrangements on Council finances is under ongoing review.</i> 17ii. <i>Business Rates project to be pursued.</i>	DCX (TC)/Head of CS *	30 June 2016 * O 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  A growth bid has been submitted and accepted by Management team to progress this project through 2016/17 .
			Economic Development Strategy is reviewed every three years. Communication of the vision, proposed actions and measures of success is taking place. 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, with a number of recommendations having resourcing implications. This has been considered as part of 15-16 budget process. A growth bid has been approved as follows: - Inward Investment - £5k Stimulate economic Activity - £10k Magna Carta - £8k Staines-upon-Thames BID £32k SBF / Miscellaneous £16.5k Total - £71.5k The creation of a new post of Economic Development Officer has now also been approved. This post including on-costs is £29.4k This gives a total of £100.9k.	17iii. <i>Economic development is a Council priority and growth will impact on business rate income - this is under ongoing review.</i> 17.iv. <i>The 3 year economic assessment &amp; strategy is currently being updated, due for Cabinet submission/approval by December 2016.</i>	DCX (TC) * CS & EDO*	31 October 2016* Requires monitoring	The 3 year economic assessment & strategy is currently being refreshed and will be available to seek Cabinet approval in December 2016. A Business Improvement District is under development for Staines-upon-Thames. Welcome packs for new businesses as well as property agents have been developed. A CRM is being developed to track Spelthorne's top 20 businesses with regards to key account management. A Commercial Property Agents/Developers event is being planned for March 2016 to help focus inward investment interests in Staines. A bid has been submitted to Surrey CC for £350k with regards to support for secondary town centres; £350k match funding from SBC has already been approved

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RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	18. Failure to comply with employment legislation or statutory duty leading to possible compensation (unlimited), damage to reputation, Legal costs and significant officer time.	3	Human Resources (HR) identify changes in employment legislation, provide guidance and training to ensure compliance. Equality and Diversity working group and training provided to all staff.		MAT/ Service Heads/ Head of HR*	Ongoing monitoring	Professional HR support will continue to be available.
	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.	3	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 were approved by Cabinet in October 2013. The Children's policy is currently being updated . Independent Living Managers have reviewed any changes required to Adults at Risk policies and processes.	19i. <i>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 . 19ii. Staff training needs to be assessed and revised policies/processes publicised in due course. 19iii. To seek clarification over responsibility for dealing with safeguarding issues for cross border referrals (where families located out of Surrey).</i>	DCX (TC)/LSM/ILM/ JOINT HEADS OF H & IL *	30 April 2016 * O Requires monitoring	Standard policy and process for Safeguarding Adults being prepared for all districts and boroughs. Concerns remain about threshold of acceptance and follow up/feedback regarding children's referrals. There are also issues where families are placed out of Surrey, in terms of liaison and responsibility.
	20. Service delivery and planning difficulties due to reduction in Revenue Support Grant and therefore reduction in spending	3	Long term strategic/financial planning. Corporate Plan / priorities reviewed. Member engagement 'Towards a Sustainable Future' programme identified potential savings and additional sources of income.	<i>Towards a sustainable future programme to be delivered</i>	MAT	31 August 2016 * O Requires ongoing monitoring	TaSF programme to be progressed, including Structural Review, Knowle Green relocation and Income Generation (use of Assets).
<i>Identify alternative service delivery models and prepare business cases. Assess the impact on in-house Services.</i>				Service Heads	31 May 2016 *R Requires monitoring	Some business cases for alternative service delivery models have been submitted, whilst others (Environmental Health) were put on hold for legitimate reasons, but are being pursued. The Public Sector Mutual Applied Resilience Service took effect from 1 September 2015. Meetings held to assess the impact of alternative service delivery models on existing in-house Services.	

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RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	21. Reduction in service delivery and possible loss of internal control as a result of savings required to balance budget	3	Management is responsible for maintaining key services and internal controls regardless of resource levels. Any savings offered will be accompanied with summary of any associated risks.		Service Heads/ MAT	Ongoing monitoring	
	22. Poor return on long term investments /investments insecure in current climate	3	Treasury Management Strategy approved annually by Members. Aim to select counter parties 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 Evans 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.		DCX (TC) *	Ongoing monitoring	The income target for 2015/16 increased by £300k to £635k to reflect the significant capital receipt the Council was expecting to receive during the year. Despite the delay in this being received the estimated outturn position for 2015/16 at the end of December 2015 was £621k, with careful management and utilisation of the cash balances available to maximise return. The core pooled investment funds have been enhanced in year and continue to perform well, both in terms of interest earnings and capital growth. Accountancy continue to closely monitor risk, the global economic market and maintaining a diversified portfolio.

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RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	23. Failure to collect/recover income due, resulting in losses to the authority.	3	Corporate Debt Officer Group meet periodically. 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. The Corporate Debt Group, chaired by the Deputy Chief Executive (Terry Collier) continue to meet monthly and a wider representation from Services is being encouraged. The Deputy Chief Executive in his capacity as Section 151 Officer is taking the lead in coordinating outstanding actions with the Corporate Debt Group such as strengthening recovery procedures for sundry debts to reflect Spelthorne's recovery policy wherever possible and practical, with less intervention from Services; perusal of older debts by the Recovery team and monitoring by Management. Arrears figures at the Corporate Debt Group are reviewed, together with discussions about cost effectiveness of pursuing different types of debts.	23i. <i>Recovery arrangements for significant debts/other income streams and amounts outstanding continue to be periodically monitored through the Corporate Debt group.</i> 23ii. <i>External Consultant to coach and train staff responsible for debt recovery with a view to improving their skills and enhancing recovery rates.</i>	Service Heads/ DCX, TC/HOCS		For some income streams corporate debt recovery processes appear to stop or are handed back to Services. This has been discussed at the Corporate Debt Group with a view to strengthening processes. The Corporate Debt Group are appointing a Debt Recovery Consultant to coach and train officers dealing with the recovery of Housing Benefit Overpayments, Bed and Breakfast arrears, Sundry debts, Customer Services (Business rates and Council Tax) and other debts.

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RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	24. 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	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 appraisal process. Refresher fraud awareness training for staff and Members is due. Implications of Bribery Act (July 2010) considered by services. 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. Spelthorne have received £60k of the DCLG fraud fund (up to June 2016), used to assist in the detection and prevention of non benefit fraud, focusing on housing, (homeless and housing applications, tenancy fraud, right to buy applications) business rates (evasion and avoidance), and Corporate/miscellaneous frauds. Agreed targets. Audit Services are coordinating progress in terms of payback and submitting quarterly fraud returns to Surrey CC.	24i. To ensure that the DCLG fraud fund is used appropriately and that each initiative is receiving a payback. 24ii. Prepare business case for a Corporate Fraud resource/function. 24iii. To arrange Fraud and anti-bribery and corruption training for all staff and Members.	Service Heads/ MAT/IAM/Head of CS/Head of H&IL IAM IAM	Requires monitoring 30 June 2016 *R	Audit Services and Investigating Officers attend specialist Fraud groups with Surrey Partners which are very useful forums for sharing skills, knowledge and approaches to tackling fraud/ business rate avoidance/evasion cases. Data Intelligence systems such as Trace IQ are also being used to verify details and investigate fraud. The Internal Audit Manager continues to meet periodically with the Investigating Officers, Housing and Business Rates teams to review progress. It is reassuring that a robust internal fraud referral process/system has been implemented within Housing . As part of a Surrey wide publicity Campaign to tackle Social Housing Fraud, a press release was issued in November 2015 and various communication channels have been used to promote the message/display the poster. A fraud hotline has also been set up within Housing. As at 31st December 2015 the cumulative payback//return in tackling non-benefit fraud equates to £394k. This is well in excess of the original £60K DCLG fraud funding allocated to Spelthorne.

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RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
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**\*KEY TO RAG RATING**

	Actions outstanding
	Partially actioned
	Completed/Ongoing monitoring

**\*KEY TO TARGET DATES**

\* O = Original target date for assigned action

\* R = Revised target date for assigned action

**\*KEY TO OFFICERS**

MAT - Management Team

Head of CS - Head of Customer Services, Linda Norman

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

Head of S &amp; L – Head of Sustainability and Leisure Services, Sandy Muirhead

Head of SS – Head of Streetscene, Jackie Taylor

DCX (LO) – Lee O'Neil

SEHM - Senior Environmental Health Manager, Tracey Wilmott-French

PS - Principal Solicitor, Victoria Statham

STC &amp; RM - Staines Town Centre and Regeneration Manager, Heather Morgan

Head of AM &amp; OS – Head of Asset Management and Office Services, Dave Phillips

HRM – Human Resources Manager, Debbie O'Sullivan

CM- Contract Managers

Joint Heads of H &amp; IL – Joint Heads of Housing and Independent Living, Deborah Ashman and Karen Sinclair

LSM - Leisure Services Manager, Lisa Stonehouse

RRO – Risk and Resilience Officer, Nick Moon

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

IAM - Internal Audit Manager, Punita Talwar



**Cabinet****27 April 2016**

<b>Title</b>	Review of Waste Services & vehicle procurement		
<b>Purpose of the report</b>	<b>To make a Key Decision</b>		
	<b>To make a recommendation to Council on a Key Decision</b>		
<b>Report Author</b>	Sandy Muirhead		
<b>Cabinet Member</b>	Councillor Tony Mitchell	<b>Confidential</b>	No
<b>Corporate Priority</b>	Delivering quality of life services		
<b>Cabinet Values</b>	Community and Accountability		
<b>Recommendation</b>	<p><b>(1) Approve changes to the weekly collection of food waste, textiles &amp; small waste electrical items (WEEE) from April 2017</b></p> <p><b>(2) Authorise the Head of Streetscene to extend the leases on existing waste and street cleansing vehicles and the depot workshop, to coincide with implementation of the changes to the waste service in 2017</b></p> <p><b>(3) Authorise the Head of Streetscene to go out to tender to lease waste and cleansing vehicles for a period of 3 &amp; 6 years</b></p> <p><b>(4) Authorise the Head of Streetscene to go out to tender for the capital purchase of food waste vehicles (subject to full Council approval)</b></p> <p><b>(5) Recommend to Full Council the capital spend of £255k as detailed in 2.1(d)</b></p> <p><b>(6) Delegate the selection of the shortlist of tenderers and the selection of the contractor to the Head of Streetscene in consultation with the portfolio holder for both the lease and capital purchases</b></p>		

**1. Key issues**

The management of household waste is one of the key functions of the local authority and is a function that is of significant importance to every resident of Spelthorne. In that context, it is imperative that the Council delivers a service that is flexible and cost effective and is able to change to meet demands as the borough grows and changes. Spelthorne is currently embarking on one of its biggest periods of growth in terms of housing developments and we need to ensure that we deliver services that have the ability to adapt, thereby helping the Council to manage increasing costs for the future.

- 1.1 The lease on the depot workshop and current fleet of street cleansing and waste vehicles is due to expire in September 2016. In preparation for this the Waste Services Group has researched opportunities to deliver a more

effective, adaptable and efficient waste collection service (**Appendix 1**). This research endeavoured to:

- (a) Investigate opportunities and industry best practice and update our fleet of refuse vehicles accordingly
  - (b) Maximise capture rates and the value of recyclables thus also increasing recycling rates, given a target rate of 50% by 2020
  - (c) Reduce running and service delivery costs
  - (d) Improve and enhance the collection service for residents
  - (e) Explore partnership working and outsourcing
  - (f) Explore other opportunities for income generation
  - (g) Optimise collection rounds by carrying out a re-routing exercise
- 1.2 We would need to develop a comprehensive information campaign before any service changes, to ensure that residents are aware of the changes and when they will be implemented. To ensure continued resident participation, further drip feed and targeted communications would also be necessary and these would assist in improving recycling rates.
- 1.3 The lease on the majority of street cleansing vehicles is also due expire in September 2016. To save on officer time and associated costs of the procurement and evaluation process, Procurement Board agreed that the best and most efficient way forward would be to conduct one procurement exercise for all waste & street cleansing vehicles and associated services.

## **2. Options analysis and proposal**

### **2.1 Option 1 (preferred):**

- a. Collect food waste, WEEE & textiles weekly on the same vehicle but operate a separate collection service to the alternate weekly residual waste and recycling collections. This will provide a better service to residents and give the Council more opportunity in future years to change and adapt as the Borough grows. These changes will also allow us to be more flexible with future tipping arrangements that will be necessary as a result of the building of the Eco Park in 2016 and the end of the mixed recyclables contract in 2017.
- b. Extend the lease on the existing Streetscene fleet of vehicles and the workshop until April 2017. This will ensure continuity of service without disruption and align with the procurement timetable.
- c. Commence a procurement exercise through the YPO (Yorkshire purchasing organisation) to lease waste & street cleansing vehicles and associated services for a period of 3 & 6 years as detailed below:-

Vehicle	Lease	Service	Quantity
18T RCV	6 years	Garden	1
26T RCV	6 years	Garden	1
26T RCV	6 years	Rubbish/recycling	9
12T RCV	6 years	Rubbish/recycling	1
7.5T RCV	3 years	Rubbish/recycling/litter bins	1
Principal road sweeper	6 years	Street Cleansing	1
Compact road sweeper	3 years	Street Cleansing	4

d. Subject to full Council approval, commence a procurement exercise for the capital purchase of:-

- 3 x 7.5T vehicles for the weekly co-collection of food waste, textiles & electricals (WEEE). Approximate cost £200k
- 1 x 3.5T vehicle for collection and delivery of bins (multi use vehicle). Approximate cost £20k
- In cab androids and associated costs for reporting bin exceptions. In-cab technology is necessary to enable us to monitor, measure and maximise the capture rate of recyclable materials, maximise participation and target contamination, with the aim of reducing residual waste tonnages and associated costs. Approximate cost £35k

e. Delegation of the shortlist & selection of contractors to the Head of Streetscene in consultation with the Portfolio holder for the procurement exercises detailed within this report which will enable us to meet the order and delivery timescales for the vehicles.

2.2 **Option 2:** Leasing the same type of vehicle that we currently have with a combi food pod would result in missed opportunities to improve and optimise the service, leaving us with a vehicle fleet which is less flexible and adaptable to future changes.

### 3. Financial implications

3.1 If option 1 (preferred) is approved this would result in a reduction of 2 refuse loader posts within the Streetscene establishment list, these posts are currently vacant.

3.2 Option 1 also has the potential to reduce revenue costs related to vehicle leasing as the proposed new vehicles are standard 26T RCV's with a twin bin lift, unlike our current fleet.

3.3 Research on current leasing costs indicates that with potential lease costs and the reduction in staff numbers it may be possible to make a saving of

approx. £10k per year on the existing service budget with effect from April 2017. However costs and potential savings will not be known until such time as the procurement exercise has been completed.

- 3.4 If extra budgetary requirements are required as a result of the tender exercise a further report will be submitted.

#### **4. Other considerations**

- 4.1 There are considerable external pressures on markets for recyclable materials and their associated disposal costs. Therefore, we need to ensure that our service is cost effective and adaptable to meet changing external conditions in order to maximise opportunities for good prices on recyclables.
- 4.2 There is a target of 50% recycling rate to be achieved by 2020, and many authorities are at or above this level. The change in service should continue to make it easier for residents to recycle and we will continue our work with flats to provide them with recycling facilities.
- 4.3 With a more flexible fleet which will meet future demands and changes there is also the option to explore a 3 weekly residual waste collection service. This has the potential to reduce refuse collection budgets and assist with the Council's difficult financial future.
- 4.4 Consideration of the above issues becomes more critical because Surrey County Council, due to pressures on the waste disposal budget, may reduce or even eliminate recycling credits (£57/tonne currently received for dry recyclable material). This would have a significant impact on budgets but it is also possible that SCC may retain some incentives for those authorities that recycle the most to ensure continued reduction on the waste disposal budget.
- 4.5 There are no anticipated changes at this time to the alternate weekly garden waste collection services.
- 4.6 A project to enhance refuse collection services to the more difficult properties is on-going, but it is anticipated that this service will remain on a weekly or more frequent collection as is now.

#### **5. Timetable for implementation**

- 5.1 A timetable for implementation is attached at **Appendix 2**

Cabinet approval	27/4/2016
Full Council approval for Capital Expenditure	28/4/2016
Vehicle procurement process starts for purchase & lease	May 2016
Proposed vehicle change over date	April 2017

#### **Background papers:**

#### **Appendices:**

- Appendix 1: Waste board research information  
Appendix 2: Gantt chart for implementation

## Review of Waste Services in Spelthorne 2015

During 2015 the Waste Services Group which comprised of officers from both Environment Services and Streetscene researched options and opportunities to deliver more adaptable and efficient waste collection services, these included:-

### **(a) Consider lease v purchase options**

Outright purchase appears to be the simplest method of all, but is not necessarily the cheapest or the most efficient option. For many years, this was the funding method of choice for most public sector organisations. However, it requires ready availability of the full capital sums of the purchase price, and puts the vehicle on the 'balance sheet' of the authority, as an asset. In recent years, the extreme pressure on capital expenditure has made this a less useful option. This option is however favoured when purchasing more bespoke vehicles as lease costs for "specialist" vehicles are much higher.

Contract Hire provides a highly outsourced solution to vehicle provision, with a high level of fixed costing and risk transfer to an external supplier. The supplier's economies of scale reduce their costs and subsequently that of the hirer. Most lease companies are large enough to absorb realistic levels of risk transfer across all cost types.

**Recommendation:** To carry out a procurement exercise through the YPO (Yorkshire Purchasing Organisation) to lease 16 vehicles associated with refuse collection and street cleansing as detailed in 2.1c of the main body of the report. Subject to full Council approval, purchase outright, through the YPO, 3 vehicles associated with separate collection of food waste, WEEE & textiles and 1 multi use vehicle, mainly used for bin deliveries.

### **(b) Consider collecting food and garden waste co-mingled**

Garden waste is now assigned to Surrey County Council for disposal and, therefore, must be collected separately from food waste. This also allows for more sustainable processing as garden waste can be openly composted whereas food needs to be processed using anaerobic digestion.

**Recommendation:** To continue to collect as now. This charged-for service provides a valuable source of income generation to the Council

### **(c) Consider collecting materials separately e.g. glass/paper to gain higher value recyclables**

It is widely accepted in the waste industry that separating glass from co-mingled collections greatly improves the quality of the recyclable materials. Analysis has been undertaken using WRAP's (Waste & Resources Action Programme) CAT (Computer Assisted Translation) tool to model the effect of collecting glass separately. The model showed that this provided less benefit than collecting co-mingled recycling, due to being more expensive to deliver resulting in the most expensive collection system modelled. The reason it was considered along with other options is that separating glass improves the quality of recyclate, thus allowing the recyclate to attract a higher price. However, to ask residents to now extract glass from the co-mingled materials and require an extra bin to be provided would involve significant resources and so is not currently cost effective

**Recommendation:** To continue to collect comingled recycling as now, introducing new items as and when improved sorting technology at the MRF (Materials Recycling Facility) is available.

### **(d) Consider change to collection service frequency (e.g. a 3 weekly basis)**

Research shows that some local authorities are considering options for changing collection frequencies in order to cut operational costs. Some authorities in the UK such as Bury, East

## Appendix 1

Devon & Powys have recently introduced 3 weekly services where waste is collected every 3 weeks and dry recycling and organic recycling collected in various combinations (weekly, two or three weekly).

Analysis has been undertaken using WRAP's CAT tool to analyse alternative collection frequencies for Spelthorne.

This modelling was based on residual waste being collected every 3 weeks. It shows that this system provides the highest environmental benefit and it is also the cheapest of the systems modelled. However, this is a more complex system and this model is only illustrative of one of many different possible configurations. As this collection frequency has not yet been in operation for long periods in authorities where it has been introduced, it is suggested that additional research and a cost analysis takes place in the future to establish the pros and cons of a reduced collection frequency.

**Recommendation:** The view of the Waste Board is that we should not currently change from Alternate Weekly Collection. However, in light of the difficult budget situation that Spelthorne faces in future years, this option should be fully researched once more facts are available from areas that already undertake the reduced 3 weekly collection frequency.

### **(e) Consider double shifting of vehicles**

Research by Surrey County Council shows that double shifting of vehicles does not necessarily reduce costs. It would create a need for alternative shift patterns, 4 day weeks, longer hours, 7 day shift rotas and weekend working.

The Head of Streetscene has also researched the pros and cons of double shifting. This research established that whilst this would and does work in larger authorities, mainly in central London with refuse fleets of 30 or more, and where collections are carried out daily, it would not meet the needs of Spelthorne's residents. There is also no evidence to suggest that double shifting would reduce service costs, but it would, within Spelthorne, create service issues and has the potential to increase the risk of service failure and put employees at risk when working in the dark during busy periods of the day.

**Recommendation:** Considering research undertaken by both Surrey County Council and the Head of Streetscene it is recommended that we do not pursue this option.

### **(f) Consider collecting food waste separately from rubbish/recycling**

Based on our industry research plus our experience since launching the weekly food waste collection service in 2011, we believe that collecting food waste in separate vehicles would provide a more efficient service.

Separate food waste collections, in conjunction with a rerouting exercise, has the potential to reduce costs, require fewer tipping trips and result in a more flexible fleet with optimal vehicle capacity. Work was also undertaken as to the feasibility of an additional collection compartment to collect materials such as textiles, small electrical items (WEEE) and batteries. Other boroughs such as Woking and Guildford have adapted their RCV's to have cages on to take these materials, and Runnymede has adapted their food waste vehicles. As this seemed a straightforward mode of operation, vehicle manufacturers now consider such adaptations feasible and, as a result, vehicles are now available that have the capacity to collect food waste, textiles and WEEE all on one vehicle. This then removes the need to carry out a separate textile & WEEE collection service.

This option also gives us the opportunity to lease standard 26T refuse vehicles (with no food pod) which will help us to ensure that we have the flexibility to adapt to future service changes. In order to maximise opportunities for improving waste collection services it is important the vehicles used have up-to-date in-cab information systems which allow feedback on participation in the services on offer and identification of contamination issues. The former

## Appendix 1

is becoming increasingly important to maximise recycling and the latter because of the need to ensure high quality recyclate and, therefore, obtain the best price for recyclables.

Analysis has been undertaken using WRAP's CAT tool to model the effect of collecting food waste separately. Due to the number of vehicles and staff suggested in the model, the results show higher costs. However we have recalculated the potential costs based on the actual vehicle and staffing levels that we believe are required, along with research in other authorities, and the recalculated costs are equivalent to that of our current collection method.

**Recommendation:** It is recommended that we collect food waste, textiles & WEEE weekly on 1 vehicle and use standard refuse vehicles for both waste and recycling with up to date in-cab technology for monitoring rounds.

### **(g) Consider partnership arrangement**

The Surrey Waste Partnership, with the escalating costs of waste, has started to look at how waste management can be more cost effective and managed more sustainably in the future. The unprecedented financial situation affecting all of Surrey's authorities creates a strong imperative for addressing the barriers to improving waste management across the county. By working more effectively together, significant financial and environmental savings could be made for the Surrey taxpayer. It has been estimated that annual savings of up to **£8 million** could come from:

- Capturing more recycling – **£4 million**
- Getting better value from this material – **£1.4 million**
- Running waste services more efficiently – **£2.6 million**

As a result, both the SWP Members Group and Chief Executives have started to consider the future and the following issues are now being considered in depth:

- The current system of cross-tier financial transfers, including recycling credits, is not effective and will **not be retained**
- All 12 authorities must make a commitment to drive value across the **whole system** to reduce costs and benefit Surrey taxpayers
- The **nature** and **pace** of what could or should be done in collaboration **varies** between the authorities
- Officers should continue to **explore new ways of working** and report back

Given potential changes to the financing of recycling credits it is even more important that we focus the new service and continue to concentrate on communications to increase recycling rates. We are also working across Surrey collaboratively to establish best practice and develop consistent and targeted communications to minimise waste and maximise recycling.

Spelthorne has had discussions with, and explored opportunities with, our neighbouring boroughs and while there are no immediate opportunities for joint working it is evident that collaborative opportunities should be explored further in the future.

There are already small beginnings in developing a partnership with Runnymede, in that Spelthorne have recently carried out a joint agency contract procurement exercise for the provision of operational staff with Runnymede. It is hoped that this new joint contract will help us in the future to further explore other joint working opportunities with Runnymede.

**Recommendation:** There are no immediate opportunities to operate a joint refuse collection service with our geographic neighbours. However the proposed changes detailed within the review of waste services and vehicle procurement report, together with the Surrey Waste

Review of waste services & vehicle procurement

## Appendix 1

Partnership, will allow partnership opportunities to be explored in the future to develop more cost effective methods of working to continue cost reductions and improve recycling rates.

### **(h) Consider future options for outsourcing refuse collection as part of Surrey wide contract**

During 2015, 4 authorities (who have contracted-out services) in Surrey, carried out a joint procurement exercise for the delivery of their waste services. The results of the tender are being evaluated and the results in terms of benefits to each authority will be shared with the Surrey Waste Partnership members during 2016. As these authorities are already contracted out to the private sector, evaluation in terms of savings realised as a result of the tender will be relatively straightforward to evaluate

In the industry there are no clear trends in the direction of contracted-out or in-house service delivery, although there are number of examples where authorities have come together to run one service e.g. Somerset Waste Partnership, East Sussex grouping. A small number of authorities who have run DSOs in the past have recently outsourced, whilst others who have been working with a contractor for many years are bringing their services back in-house or, as with Hounslow, are setting up an arms-length trading company.

For Spelthorne a change from an in-house operation to an outsourced refuse collection service would require a complete evaluation of the services Streetscene currently provide, breaking down the interaction of staff and vehicles. However, as we are seeing our budgets diminish dramatically year on year, it is likely that we will be looking harder than ever for savings on waste collection and this may be one direction of travel to explore along with options within the Surrey Waste Partnership

**Recommendation:** With the timescales involved, we are not in a position to consider looking at potential options for outsourcing at this stage.

### **(i) Income generation**

Spelthorne sold its Trade Waste collection customers in 2008 to an external contractor and realised a large capital receipt. The sale prohibited the Council from dealing in the trade waste business for a period of 8 years, this timescale has now lapsed and we have the opportunity to carry out a commercial waste review. A review would entail a detailed market analysis, exploring and assessing options for service growth and efficiencies. It would also involve an in-depth assessment of costs and revenues to arrive at a model of the potential service, which would provide a robust baseline against which the likely effect of creating a new trade waste collection service in Spelthorne could be assessed. Given the level of detail and knowledge required for such a review it is anticipated that experts in this field would need to be engaged.

The wheelie bin garden waste service was introduced in 2009 and has gone from strength to strength, starting with 2000 customers and now with over 8000. This charged-for service provides a valuable source of income for the Council and opportunities for increasing its customer base will be explored during 2016/17.

**Recommendation:** Expansion of the garden waste service will be researched in 2016/17 and consideration will be given to engaging experts to assess trade waste opportunities.

### **(j) Optimise collection rounds by carrying out a re-routing exercise**

Optimising waste collection routes can reduce the number of vehicles needed, the miles they travel and the amount of fuel they use. The technology used by a variety of companies builds accurate models of round design to help manage performance and ensure a fair day's work for all crews, whatever their round, whatever their service. Changes to waste services have a huge impact if things go wrong, and the technology used to carry out round redesign helps to minimise this risk and helps to reassure all involved that changes will work now and in the future.

Review of waste services & vehicle procurement



## Appendix 1

**Recommendation:** A re-routing exercise has been undertaken in 2016 which incorporated known current and future new builds for the next 18/24 months. As a result of this exercise, there will be some amendments to routes and changes to collection days, all of which will be incorporated in the communication plan as part of the waste project. Whilst there is no reduction in vehicle numbers, it is anticipated that some savings will be achieved through this route optimisation.

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Task	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
<b>2016</b>												
Re-routing exercise												
Report To MAT												
Report to Cabinet												
Report to full Council												
Procurement process-incl, detailed specifications and tender exercise												
Vehicle tender												
Tender evaluation												
Tender award												
Operational staff updates												
Communication campaign planning												
<b>2017</b>												
Vehicle delivery												
Operational staff updates												
Communication campaign-detail to be agreed												
Ongoing communication												

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**Cabinet**

**27 April 2016**



<b>Title</b>	Health and Wellbeing Strategy		
<b>Purpose of the report</b>	To make a Key Decision		
<b>Report Author</b>	Mary West/Lisa Stonehouse		
<b>Cabinet Member</b>	Councillor Maureen Attewell	<b>Confidential</b>	No
<b>Corporate Priority</b>	Delivering quality of life services		
<b>Cabinet Values</b>	Community		
<b>Recommendations</b>	<ul style="list-style-type: none"> <li>• To adopt the Health and Wellbeing Strategy 2016-2019</li> <li>• To report to Cabinet annually with an update on the action plan</li> </ul>		

**1. Key issues**

1.1 Spelthorne Council has a key role in improving the health and wellbeing of its residents, along with many other agencies. Many council services including Housing, Independent Living, Leisure, Environmental Health, Parks and Open Spaces, Planning, Sustainability and Community Safety, support the wider health needs of our communities.

1.2 Although people in Surrey generally enjoy good health, Spelthorne residents have some of the higher health needs in Surrey. Adult obesity and excess winter deaths rates are higher than the England average. The rates of physical inactivity are also higher than the rates for England and Surrey. Some of these statistics were recently highlighted in the local press.

The strategy was developed in liaison with services across the Spelthorne Borough Council. The strategy links in with The Surrey County Council and the North West Surrey Clinical Commissioning Group priorities. The report was approved for public consultation by cabinet in 2015 and the following health and wellbeing strategy priorities were proposed.

- A borough where health inequalities are reducing among young and old
- Developing a preventative approach
- Improve emotional and mental wellbeing
- Safeguarding Children and Adults

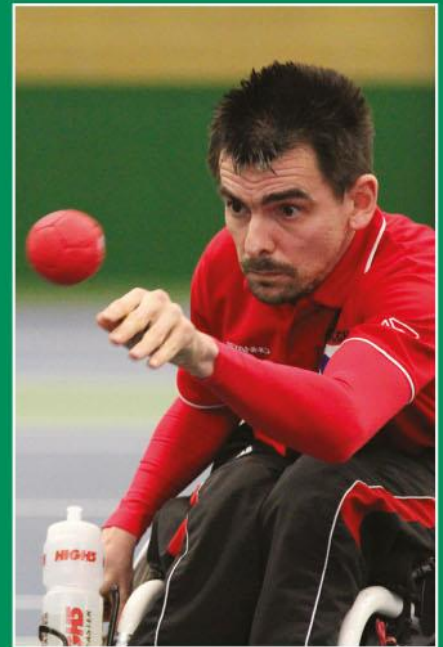
1.3 We received feedback from 13 people. Out of these comments, 8 comments were specifically related to concerns about the eco-park and its effects on air quality. Practical measures in relation to the eco-park have already been agreed by Surrey County Council to help to allay some of these concerns. .

- 1.4 The strategy has been updated in 2016 to reflect the consultation feedback, The North West Surrey Clinical Commissioning Group Strategic Objectives (2014-18), Surrey County Council Priorities and new local statistics.
- 2. Options analysis and proposal**
- 2.1 To adopt the Health and Wellbeing Strategy and action plan for 16/17.
- 3. Financial implications**
- 3.1 The strategy will provide the framework for delivering of services and projects within our existing budgets. A robust strategy highlights the Boroughs commitment to health and wellbeing and partnership working. This will also assist us in applying for external funding for health projects and partnership working.
- 4. Other considerations**
- 4.1 The strategy will support and link with other strategies of the Council including the Housing, Economic and Leisure and Culture Strategies.
- 4.2 The strategy will be reviewed annually by Cabinet or a Performance Monitoring Forum and the Spelthorne Health and Wellbeing Group.
- 5. Timetable for implementation**
- 5.1 The strategy will be adopted upon approval by Cabinet
- 5.2 Annual report on progress April 2017

**Background papers:** There are none

**Appendices:**

Appendix 1 - Health and Wellbeing Strategy



# Appendix 1

## Spelthorne Health and Wellbeing Strategy

### 2016-19

DRAFT







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## Foreword

I am delighted to introduce Spelthorne's first Health and Wellbeing Strategy. This strategy represents a significant step forward to improving the health and wellbeing of the people of Spelthorne.

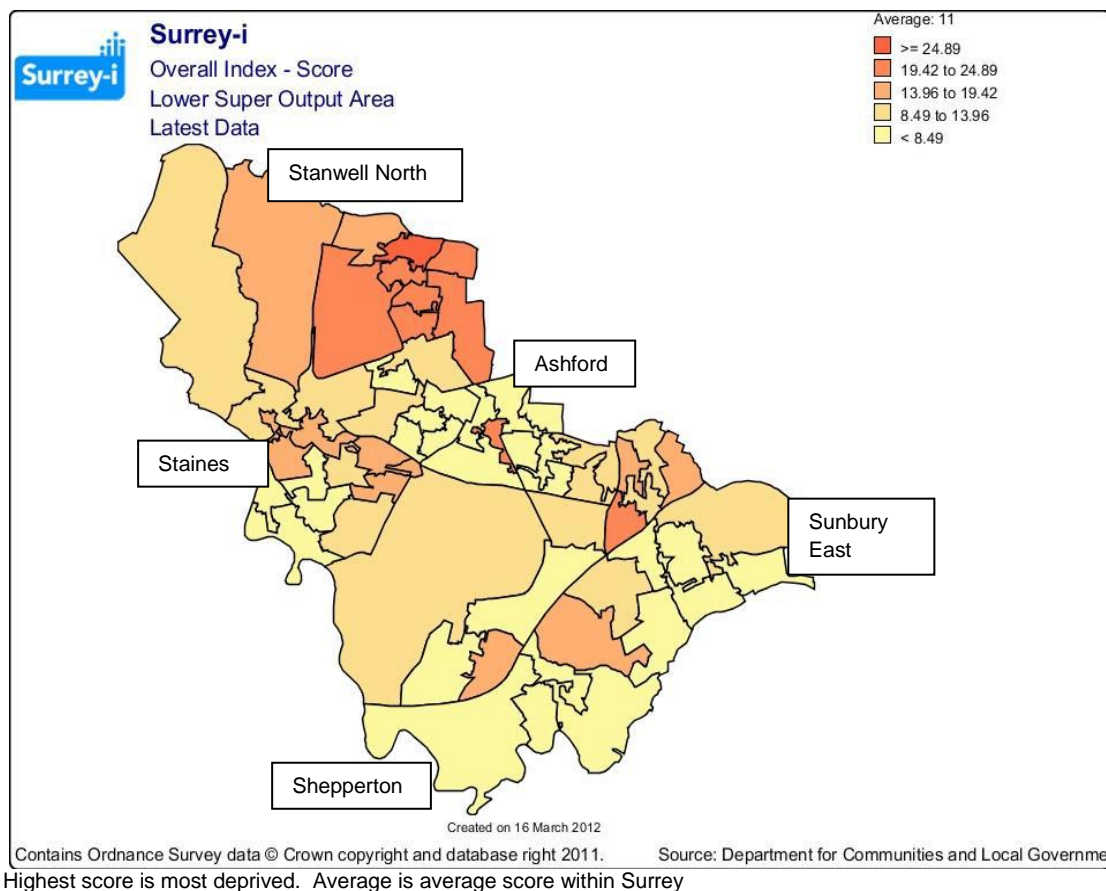
The strategy presents a new and exciting opportunity to build on and succeed in partnership working. The strategy outlines 4 key priorities where it is recognised that by working together we can achieve the greatest results. We look forward to making the most of the extensive skills and knowledge of our communities and services to jointly tackle the health challenges we face today. We are fortunate in Spelthorne that many of our residents already experience good levels of health and wellbeing. However, some of us do not, and these health inequalities must be addressed. We have a duty to work together to make a real difference to people's lives while improving the health of the general population. The challenges we face will not be solved overnight but tackling these together will be a main priority.

**Cllr Maureen Attewell**

## 1. Spelthorne Borough Council Overview

- 1.1 The Borough of Spelthorne lies to the south west of London and is a relatively small borough, just six miles long and two and a half miles wide. It is located 15 miles from central London and shares its northern border with Heathrow Airport. The River Thames defines its long southern boundary.
- 1.2 It is densely populated and has five main urban areas - Ashford, Shepperton, Staines-upon-Thames, Stanwell and Sunbury-on-Thames.
- 1.3 The population of approximately 95,598 (2011) live in about 39,500 dwellings. The mix of dwellings and density makes Spelthorne more similar to the adjoining London boroughs than the rest of Surrey. The population is relatively older than average with a projection that it will get older over the next 20 years.
- 1.4 The Borough is economically active although its unemployment claimant count of 0.9% (February 2015) has been at that level for the previous 6 months. It is adjacent to some major employment centres especially Heathrow Airport, which employs more than 3,900 Spelthorne residents (March 2010).
- 1.5 Surrey is one of the healthiest counties in the UK and Spelthorne fares well in the majority of health measures when compared with the national picture and our neighbouring boroughs. However, Spelthorne Borough Council recognises the key role it plays in helping to improve the health and wellbeing of residents, particularly those in areas of greater deprivation where certain health issues are more prevalent and there is much greater need. There are small pockets of deprivation in the borough (see figure one) in parts of Stanwell, Ashford, Staines-upon-Thames and Sunbury Common.
- 1.6 Ashford and St Peter's Hospital Trust are the key hospitals for Spelthorne with Ashford Hospital being the only hospital situated within the borough. The nearest accident and emergency is located outside the borough at St Peter's in Chertsey.
- 1.7 There are 11 GP surgeries in Spelthorne. All the surgeries in Spelthorne are part of the North West Surrey Clinical Commissioning Group.
- 1.8 Recreational facilities include two leisure centres, over 750 acres of parks and open spaces, golf courses, water sports and Kempton Park racecourse.
- 1.9 Spelthorne also has four community centres and a wellbeing centre.

**Figure 1:** Overall Index of Deprivation 2010 by lower Super Output Area Spelthorne. Super output areas (SOA) were designed to improve the reporting of small area statistics and are built up from groups of output areas (OA).



## 2. National/Policy context

- 2.1 To safeguard its future the NHS needs to change to meet the challenges it faces. Only by modernising can the NHS tackle the problems of today and avoid a crisis tomorrow. The Health and Social Care Act 2012 put Clinical Commissioning Groups (CCG) at the centre of commissioning and gave a new focus to public health.
- 2.2 The Health and Social Care Act 2012 indicates significant changes, giving the NHS, Spelthorne and our partners the chance to develop local actions to make improvements to services in our borough.
- 2.3 The responsibility of delivering this act locally is the North West Surrey CCG Group and Surrey County Council (SCC). Their statutory duties are:
  - the Healthy Child Programme for school-age children (including school nurses)
  - sexual health services (excluding contraceptive services provided under the GP contract and HIV treatment)
  - public mental health services

- local programmes to promote physical activity, improve diet/nutrition and prevent/address obesity
- drug misuse and alcohol misuse services
- tobacco control, including stop smoking services and prevention activity
- NHS health checks
- local initiatives to prevent accidental injury, including falls prevention
- local initiatives to reduce seasonal mortality.

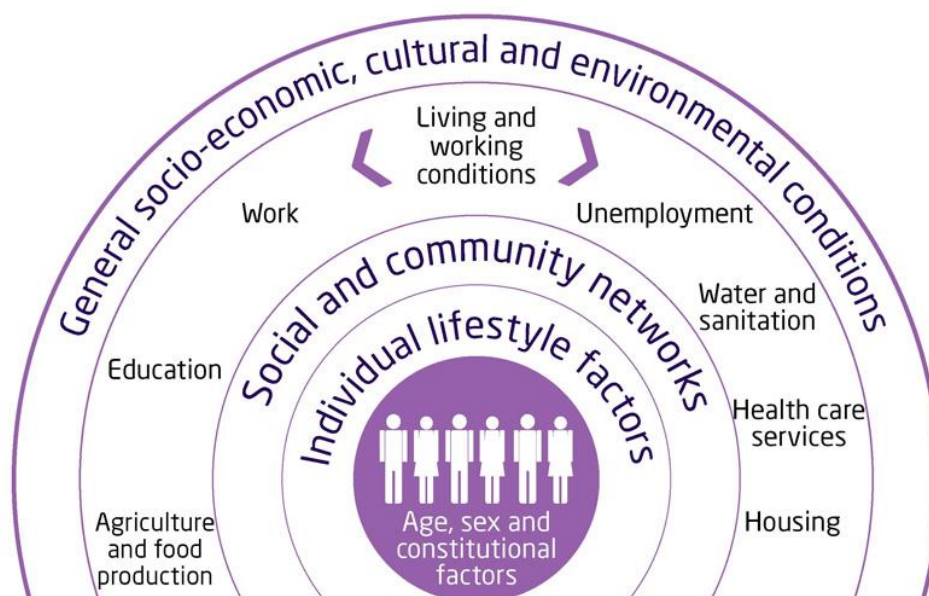
### **Why prevention?**

“Prevention of ill health has traditionally been the responsibility of the NHS, but we put prevention in the context of the social determinants of health. Hence, all our recommendations require involvement of a range of stakeholders. Local and national decisions made in schools, the workplace, at home, and in government services all have the potential to help or hinder ill-health prevention.”

(Marmot 2010 – Executive Summary)

- 2.4 Ill health prevention forms the foundation and influences this strategy to improve health and wellbeing. The evidence base for this is substantial, and includes:
- The Global Burden of Disease Survey 2010
  - Social Model of Health
  - The Marmot Review
- 2.5 The Global Burden of Disease 2010 Study is the largest study of its kind ever undertaken, and shows that in the UK, the contribution of unhealthy behaviours to the overall burden of disease is enormous. This represents a key opportunity to improve health and wellbeing by targeting these behaviours through prevention action. According to the survey, the top 5 risks factors are tobacco smoking, raised blood pressure, obesity, physical inactivity, and alcohol; all of which are entirely, or in large part, amenable to prevention. Tobacco smoking alone accounts for 12% of the burden of disease, the single greatest cause of ill health in the UK, and is responsible for 1 in 7 of all deaths in Surrey.
- 2.6 The Social Model of Health, as shown in the following figure, also outlines that health is determined by a complex interaction between individual characteristics, lifestyle and the physical, social and economic environment.

**Figure 2: The Social Model of Health**



Source: Dahlgren, G. and Whitehead, M. (1993) Tackling inequalities in health: what can we learn from what has been tried?

- 2.7 The Marmot Review also highlights that health inequalities arise from social inequalities, and action on inequalities require a focus on prevention. Prevention incorporates both the narrow definition of tackling unhealthy behaviours, and the wider definition of action on socio-economic determinants to prevent the onset of ill-health in the future.

### 3. Surrey Setting

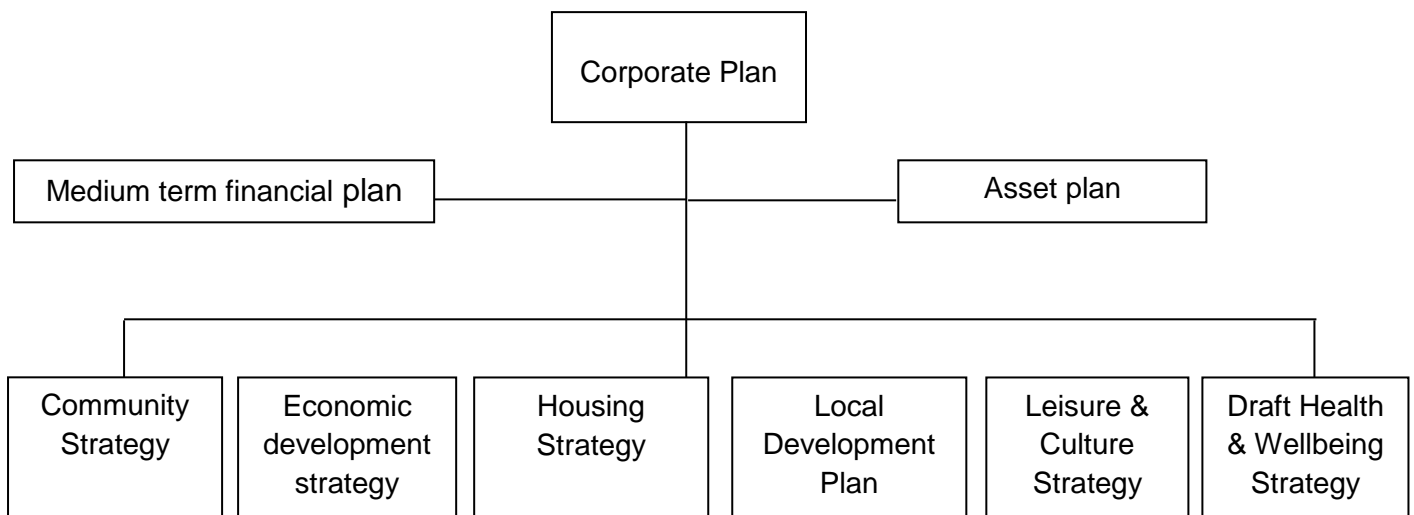
- 3.1 Over one million people live in Surrey. Each and every one of them has their own health and wellbeing needs. Meeting those needs is a complex task and health, social care, third (voluntary) sector and community leaders must all work together to succeed in supporting people to resolve these needs in an effective and efficient manner.
- 3.2 The Commissioning Intentions drawn up by NHS North West Surrey Clinical Commissioning Group (NWS CCG) outline the priorities being taken forward to provide the best possible health for the population of North West Surrey.
- 3.3 Surrey County Council as lead for public health has set up a Health and Wellbeing board and they have produced a Health and Wellbeing Strategy. Their strategy prioritises actions which can be achieved in partnership and demonstrates how needs identified through the Joint Strategic Needs Assessment (JSNA) and other sources are to be addressed. Decisions about health and care are then based on clinical expertise, evidence from the JSNA, and input from locally elected councillors and the public. The general public can make comments via initiatives such as Health Watch Surrey and at public meetings. This means decisions about action and investment can be genuinely local, rather than solely a reflection of national priorities.

3.4 Based on the local evidence and knowledge, Spelthorne Borough Council has developed four health priorities in areas where we have influence and control. We will work as a team to develop and identify where we link with and complement the SCC and North West Surrey CCG objectives and priorities.

<p style="text-align: center;"><b>North West Surrey Clinical Commissioning Group Strategic Objectives (2014-18)</b></p> <ol style="list-style-type: none"> <li>1. Increase length of life and prevent people from dying prematurely</li> <li>2. Improve quality of life and promote independence</li> <li>3. Optimise the integration, quality and effectiveness of services</li> <li>4. Help people recover from ill-health</li> <li>5. Target spend for greatest gain and eliminate waste</li> </ol>	<p style="text-align: center;"><b>Surrey County Council Health and Wellbeing Strategy Priorities</b></p> <ol style="list-style-type: none"> <li>1. Improving children’s health and wellbeing</li> <li>2. Developing a prevention approach</li> <li>3. Promoting emotional wellbeing and mental health</li> <li>4. Improving older adults health and wellbeing</li> <li>5. Safeguarding the population</li> </ol>
<p><b>Spelthorne Borough Council Priorities</b></p> <ol style="list-style-type: none"> <li>1. A borough where health inequalities are reducing among young and old</li> <li>2. Developing a preventative approach</li> <li>3. Improve emotional and mental wellbeing</li> <li>4. Safeguarding</li> </ol>	

## 4. Health in Spelthorne

- 4.1 The county of Surrey is one of the least deprived in the country and its population generally enjoys good health and wellbeing. In Spelthorne, many of the Borough's residents also enjoy good health compared with many areas, but there are small pockets of deprivation in specific wards. Significant problems also persist in the population which can lead to ill health, particularly obesity, smoking and physical inactivity, which are important causes of early death and ill health.
- 4.2 Developing this Health and Wellbeing Strategy will ensure that we have a locally determined set of priorities. It will enable us to provide partners such as the Clinical Commissioning Groups (CCG) and Surrey County Council with information to inform their future plans and therefore assist our partnership working.
- 4.3 This strategy is part of a number of corporate plans and strategies supporting Health & Wellbeing in its broader sense in Spelthorne.



- 4.4 The strategy has also been informed by a residents' survey (2014) which identifies the following as being important and related to Health and Wellbeing:
- Clean areas/clean streets (sense of wellbeing)
  - Waste and recycling (public health)
  - Parks and open spaces (opportunities to keep fit and well)
- 4.5 The following tables highlight how Spelthorne compares with both England and Surrey.



**Table 1: Data Summary for England, Surrey and Spelthorne**

	<b>England</b>	<b>Surrey</b>	<b>Spelthorne</b>
Total number of carers (2011 census)	5,430,016 (10.2%)	108,433 (9.6%)	9,844 (10.3%)
Admission episodes for alcohol related conditions per 100,000 (2013/14) <sup>1</sup>	645	525	554
Smoking Prevalence (2014) <sup>1</sup>	18%	16.6%	15.9%
Excess winter deaths (2011-14) <sup>1</sup>	15.6%	15.9%	17%
Excess weight in adults - the percentage of adults classified as overweight or obese (2012-14) <sup>1</sup>	64.6%	63.4%	62.8%
Obese adults (2012-2014) <sup>1</sup>	24%	22.5%	25%
Obese children (year 6) <sup>1</sup>	19.1%	16.4%	15.5%
Homelessness acceptances – per thousand households (2014-2015) <sup>1</sup>	2.4	2	3.2
Percentage of physically active adults – those achieving 150 minutes of at least moderate intensity activity per week (2014) <sup>1</sup>	57%	59%	55.8%

<sup>1</sup> Public Health Profiles 2015 (Public Health England)

**Table 2: Surrey & Spelthorne Comparison Table**

	<b>Surrey</b>	<b>Spelthorne</b>	<b>Comments</b>
Life expectancy <sup>1</sup>	84 years for women 80.5 years for men	83.8 years women 80.7 years men	The life expectancy varies greatly from the most deprived areas compared to the least deprived
Children living in poverty <sup>1</sup>	13.7%	13.6%  Highest in Ashford North/Stanwell South & North, Sunbury Common	Children living in poverty are less likely to do well in school, resulting in poorer job opportunities. They are likely to live five years less than their peers.
Bed and Breakfast / Temporary accommodation <sup>2</sup> (Dec 2015)	215 Households in B&B  729 Households in temporary accommodation	84 Households in B&B (25 of which have shared facilities)  121 Households in temporary accommodation arranged by local authority	Spelthorne has the highest number of families in B&B – (both shared facilities and self-contained) in Surrey. These families often have no access to GPs, schools or play areas and can suffer from isolation. They may also experience problems such as poor nutrition.
Dementia Prevalence in 65+ population. (2012-13) <sup>5</sup>	3.4%	3.4%	

<sup>1</sup>Public Health Profiles 2015 (Public Health England)

<sup>2</sup> Spelthorne P1E

<sup>3</sup> Surrey I community wellbeing, Spelthorne area profile

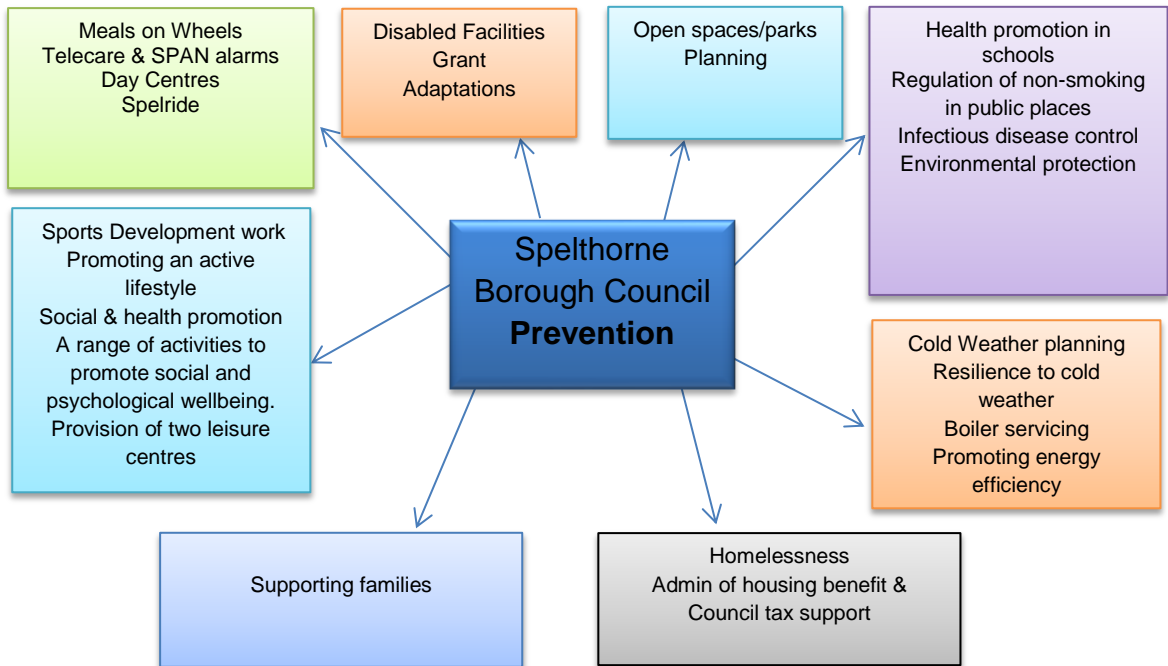
<sup>4</sup> Surrey I JSNA Summary Spelthorne, Surrey i

<sup>5</sup> Surrey JSNA - Dementia Chapter Surrey i

**Figure 3: Current provision to support the wellbeing of Spelthorne residents**

4.6 As a local authority we provide support to our residents in many ways, focusing on prevention.

**A snapshot of Spelthorne's current functions:**



## Our Vision

“To reduce inequalities and improve health and wellbeing of people living in Spelthorne”

### 5. Our priorities

- 5.1 We have developed four health and wellbeing priorities for the borough which also complement SCC and CCG priorities. Spelthorne and partners will obviously continue to work on their statutory and discretionary functions and various other special projects, but these four priorities have been identified as requiring additional focus.

#### Our priorities Areas

- 5.2 **Priority 1: A borough where health inequalities are reducing amongst all ages**

Focusing on:

- Children living in poverty
- Older people in need of social care and those that need help to remain at home independently
- People with learning and physical disabilities
- People with dementia and their carers

- 5.3 **Priority 2: Develop a preventative approach**

To prevent ill health and promote wellness concentrating on:

- Reducing smoking and alcohol misuse to increase life expectancy
- Increasing physical activity and reducing obesity
- Reducing excess winter deaths
- Improving air quality
- People in inadequate housing
- People who have come for help with housing/homeless situation
- People who need advice on maximising income/benefit advice

- 5.4 **Priority 3: Improve emotional and mental wellbeing**

- Promote initiatives to encourage positive mental health

## 5.5 Priority 4: Safeguarding the population

- Ensure that children and adults whose circumstances make them vulnerable, will be safeguarded and protected from avoidable harm.
- We will ensure that safeguarding policies and procedures are followed by us and our partners.
- People who use our services will feel safe.

## 5.6 If we get all the priorities right we hope to see the following outcomes:

- The gap in the life expectancy between the most deprived and least deprived areas across Spelthorne will narrow
- The current increase in people being admitted to hospital due to drinking alcohol will slow
- People who use our services will feel safe
- There will be fewer avoidable winter deaths
- Older people are able to stay in their own homes longer
- More people (children and adults) will be physically active
- More people will be a healthy weight

## 6. Developing the action plan, the annual review and engagement with partners

- 6.1 The Strategy will be reviewed each year and progress monitored by the Spelthorne Health and Wellbeing Group and Cabinet/Performance Monitoring Forum.
- 6.2 Progress on each of the 'actions' in this strategy will be monitored by the Health & Wellbeing group and in an annual review to Cabinet/Performance Monitoring Forum.
- 6.3 This Health and Wellbeing Strategy embraces a commitment to partnership working that draws together all of the key stakeholders. It is intended that the promotion of this strategy will be through the Health and Wellbeing Group and that it is a 'living' document focussing on national, Surrey and local health priorities. It is likely to change over time as priorities are set. Spelthorne will adopt any changes and ensure that it supports its population in improving the health and wellbeing of its residents.

## Action Plan

### Priority 1: A Borough where health inequalities are reducing amongst all ages

Areas for development	Target	Action	Timescale	Lead
<b>Children living in poverty</b>	Support 250 families to be able to have coping mechanisms.	Implementation of the troubled families programme phase 2 (Surrey Supporting Families programme).	June 2015-2020	Supporting Families
	Offer subsidised play scheme places to those in receipt of benefits.	Voucher application forms will be issued to those in receipt of benefits.	Every Summer	Leisure
<b>Older people in need of social care and those that need help to remain at home independently</b>	6% of SPAN clients will have a telecare upgrade.	The SPAN service provides an alarm with the option of additional Telecare equipment to any client who would benefit from being able to get help at the press of a button. Telecare includes smoke alarms, carbon monoxide alarms, medication dispensers and bed sensors.	2016/17	Independent Living
	Continue to operate Meals on Wheels 365 days a year and deliver over 9000 meals each quarter.	To provide a delivery of a hot nutritious daily meal for people in their own homes, either as a result of self-referral or as part of a care package.	2016/17	Independent Living
	Continue to offer a wide range of activities via the three day centres & one community centre, as well as signposting and advice. Increase attendances by 1%.	Encourage new Spelthorne residents to use our services using various promotional methods.	2016/17	Independent Living

Areas for development	Target	Action	Timescale	Lead
<b>People with learning and physical disabilities</b>	Spelthorne residents helped to live independently in their own homes with Disabled Facilities Grants. Applications for level access showers and stair lifts will be informed of the outcome within 4 months of their application.	To provide disabled facility grants to fund adaptations to vulnerable people's homes.	2016/17	Environmental Health
	The safety of houses in the private rented sector within Spelthorne have been improved.80% of category 1 and 2 hazards will be removed within 9 months	Health and Safety rating assessments will be carried out to identify hazards (as defined under the Housing Act 2004's Housing Health and Safety Rating Scheme).	2016/17	Environmental Health
	Prioritise resources to link in with public health and CCG priorities for those with physical, sensory or cognitive impairments and learning disabilities.	Work with local sports club to provide further inclusive and specialist sessions for those with disabilities.  Continue to promote Spelthorne Disability Sports Club and Spelthorne Boccia Club, making them self-sustainable.	2016/17	Leisure
<b>People with dementia and their carers</b>	Give 12 people with high needs a supportive and safe place at Fordbridge and Greeno Day Centre, which gives carers a break. Continue to provide 12 places per day	The OPAL group will continue to run from both Fordbridge and Greeno Community Centres for those with additional support needs.  A hot lunch and refreshments are available and various activities take place daily.	2016/17	Independent Living

**Priority 2: Develop a preventative approach**

<b>Areas for development</b>	<b>Target</b>	<b>Action</b>	<b>Timescale</b>	<b>Lead</b>
<b>Reducing smoking</b>	Raise awareness of the Surrey Smoke Free Alliance.	Attendance at the smoke free alliance. Promote their campaigns and initiative through local marketing avenues including the Borough Bulletin and website.	Ongoing	Environmental Health
<b>Reducing alcohol consumption</b>	To encourage responsible drinking and the prevention of underage sales. Promote at two Partnership Action Days.	To work with licensed premises, police and trading standards to promote responsible retailing and ensure against underage sales and help address problem drinking.	Ongoing	Environmental Health
<b>Increasing life expectancy</b>	2000 health checks to be carried at Spelthorne Leisure Centre.	Promote through local marketing avenues including the Borough Bulletin and website.	2016/2017	Leisure
<b>Increasing physical activity and reduce obesity</b>	Run weight management courses in accordance with Surrey Public Health contract.	Everyone Active to deliver weight management courses in liaison with public health.	April 2017	Leisure
	25 new walkers each year and 12 new cyclists.	Continue to deliver the Walking for Health scheme, encourage beginners to join the regular short walks.  Promote and increase the number of Cycling for Health rides (currently fortnightly).	Ongoing	Leisure



Areas for development	Target	Action	Timescale	Lead
	Raise awareness of healthy eating initiatives.	<p>Promote the Eat Out Eat Well scheme during food hygiene inspections in premises with food hygiene ratings of 3, 4 or 5 stars.</p> <p>Promote Change 4 Life and One You schemes through council website.</p> <p>Provision of freshly cooked dinners and healthy snacks in day centres and delivery of hot nutritious meal (Meals on Wheels).</p>	Ongoing	<p>Environmental Health</p> <p>Leisure</p> <p>Independent Living</p>
	Work with planning and public health colleagues to ensure that policies continue to be supportive of healthy lifestyles	Undertake discussions with planning colleagues as part of the review of the local plan.	2016-2019	Leisure/ Planning
<b>Reducing excess winter deaths</b>	Raise awareness that a warm environment is vitally important.	We will direct people towards fuel bill, benefits and energy efficiency advice. Increase co-ordination between Action Surrey, Public Health and Age UK. Promote information in council tax leaflets, Borough Bulletin, website and twitter.	Ongoing	Sustainability
	Helping vulnerable Spelthorne residents to keep sufficiently warm over the winter months by providing interim heating while boiler repairs are being progressed within 1 working day.	To help vulnerable people keep warm with the repair/servicing of their boilers through the 'Warmer Homes Grants'.	Ongoing	Environmental Health

Areas for development	Target	Action	Timescale	Lead
<b>Improving air quality</b>	Work to improve the air quality statistics.	Air quality action plan to be written. In collaboration with Heathrow and Surrey County Council, ensure robust monitoring of air quality in over 40 locations in the borough. Through planning, make developments as air quality neutral as possible following the Surrey 2012 vehicular and cycle parking guidance.	2016	Environmental Health
	Increase the number of individuals signed up for the Air Alert to 110.	Promote through targeted communications (bulletin articles, notices at pharmacies, schools, Primary Care Trust, occupational health within large companies, and the use of social media).	2016/17	Environmental Health
	Promote sustainable travel.	Work with local businesses to install electric vehicle charge points.  Work with Travel Smart and Living Streets to encourage people to choose sustainable travel (walk, cycle, public transport).	Ongoing	Sustainability
<b>People in inadequate housing</b>	Raise awareness of the Healthy Homes Programme / insulation improvement scheme.	Support the project, in partnership with Action Surrey and local surgeries, to ensure homes, particularly those with a Standard Assessment Procedure (SAP) rating of less than 35, are warm and draught free. Homes should also be free from trip/fall hazards and in a state of good repair. Raise awareness of the financial assistance which is available via Age UK; Action Surrey; Spelthorne	Ongoing	Sustainability

Areas for development	Target	Action	Timescale	Lead
		Borough Council and energy providers via local marketing avenues.		
<b>People who come for help with housing/homeless situation</b>	150 homeless cases prevented each year.	Effective prevention methods such as negotiations with landlords, financial assistance to manage rent shortfalls and debt advice.	2016/17	Housing
	Establish the health impact on homeless people in Surrey.	Work with other boroughs in Surrey to action the findings of the 2016 Surrey Single Homeless Health Needs Audit.	2016/17	Housing
	12 homeless people successfully placed in winter shelter.	Referrals given to single homeless/rough sleepers.	2016/17	Housing

### Priority 3: Improve Emotional and Mental Wellbeing

Areas for development	Target	Action	Timescale	Lead
<b>Promote initiatives to encourage positive mental health</b>	Increase physical activity amongst inactive older adults.	Deliver the Get Active 50+ project.	2016-17	Leisure
	Ensure that Spelthorne Community Garden integrates all ages.	Continue to develop the links with residential homes and day centres.  Move the location of the garden to a central location.	Ongoing	Leisure
	Promote healthy living.	Liaise with public health and the CCG to promote our active lifestyle, healthy living and arts schemes provided by the council and the leisure centre.	2016/2017	Leisure
	Reduce social isolation.	To run day centres that provide a variety of activities and services including lunches, exercises and various outings and holidays to help keep the older generation mentally and physically fit and help prevent isolation. Offer accessible transport through Spelride to enable residents to access community centres and other social activities.	Ongoing	Independent Living
	Encourage independent living.	Work in partnership with other agencies and the voluntary sector to provide a joint service to promote independence eg shop mobility, Age UK, social services.	Ongoing	Independent Living
	Increase number of people attending activities that promote positive mental and physical health.	Offer a wide variety of activities such as bingo, computer lessons, exercise classes, language classes etc as well as hairdresser, chiropody, gym & holistic therapy.	Ongoing	Independent Living

#### Priority 4: Safeguarding

Areas for development	Target	Action	Timescale	Lead
<b>Ensure that children and adults whose circumstances make them vulnerable, will be safeguarded and protected from avoidable harm.</b>	Internal and external training programme and procedures.	The Safeguarding Children and Adults at Risk procedures and training programme will continue to be updated in line with Surrey County Council guidance.	Ongoing	Safeguarding Officers
<b>We will ensure that safeguarding policies and procedures are followed by us and our partners.</b>	Continuing development of policies.	Update and renew policies where required.	Annually	Safeguarding Officers
<b>People who use our services will feel safe.</b>	All staff work in accordance with the safeguarding policy and feel able to report concerns.	Promote policies and whistle blowing procedure.	Ongoing	Safeguarding Officers

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## **Recommendation of the Members' Code of Conduct Committee**

### **Cabinet – 27 April 2016**

#### **Review of the Constitution**

1. At its meeting on 14 April 2016 the Members' Code of Conduct Committee considered a report on a review of the Council's Constitution.
2. The Committee noted that the Constitution had last been reviewed by the Council in 2012 and that a recent internal review had highlighted the need for various technical amendments to be made to ensure that it remained appropriate and relevant as the main tool by which the Council managed its business and was kept up to date with changing legislation.
3. The Committee looked in detail at the proposed changes being made to the Constitution and discussed them with the Deputy Monitoring Officer.
4. The Committee proposed some amendments to the Planning Code in respect of: clarifying 'planning reasons' by the addition of the word 'material'; and including a procedure at Committee for situations where a member of the Planning Committee has 'Called-in' an application.
5. The Committee also raised with officers a number of minor typographical errors and consistency issues which occurred throughout the Constitution.
6. **The Members' Code of Conduct Committee recommends Cabinet:**
  - (i) **to agree changes to the delegations of all executive functions;**
  - (ii) **to recommend the proposed changes to non-executive functions to Council;**
  - (iii) **to recommend the revised Constitution to Council for approval, subject to:**
    1. **amendments to the Planning Code (Part 5d):**
      - a. **To include the word 'material' before every reference to 'planning reasons' and**
      - b. **To include a new paragraph 20.(i) which reads – 'Where the councillor who 'Called-in' an application is a member of the Planning Committee, that councillor will be given 3 minutes to speak following the public speakers and may then speak again as a member of the Committee during its debate on the item.'; and**
    2. **corrections to typographical and consistency errors throughout the document; and**
  - (iv) **to recommend Council to agree to delegate to the Monitoring Officer, consequential changes to the Scheme of Delegations to Officers (part 3d) following the appointments of Group Heads.**

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**Cabinet**

**27 April 2016**



<b>Title</b>	Review of the Constitution		
<b>Purpose of the report</b>	To make a recommendation to Council		
<b>Report Author</b>	Michael Graham, Head of Corporate Governance		
<b>Cabinet Member</b>	Councillor Ian Harvey	<b>Confidential</b>	No
<b>Corporate Priority</b>	This item is not in the current list of priorities but still requires a Council decision.		
<b>Cabinet Values</b>	Accountability		
<b>Recommendations</b>	<p>(i) <b>Cabinet agrees changes to the delegations of all executive functions;</b></p> <p>(ii) <b>Cabinet is asked to recommend the proposed changes to non-executive functions to Council; and</b></p> <p>(iii) <b>Cabinet is asked to recommend the revised Constitution to Council for approval; and</b></p> <p>(iv) <b>Cabinet is asked to recommend Council to agree to delegate to the Monitoring Officer, consequential changes to the Scheme of Delegations to Officers (part 3d) following the appointments of Group Heads.</b></p>		

**1. Key issues**

- 1.1 The Constitution was last reviewed in 2012. A recent internal review of the Constitution has highlighted the need for various technical amendments to be made to ensure that it remains appropriate and relevant as the main tool by which the Council manages its business and is kept up to date with changing legislation.
- 1.2 One of the major themes of change in the previous review undertaken in 2012 was that brought about by the Localism Act 2011 to abolish the statutory model code of conduct and the statutory scheme by which complaints against councillors were investigated. There have since been further regulations made under the Localism Act 2011 which have necessitated changes to the Constitution.
- 1.3 The summary below highlights the changes proposed, and a “track changed” version of the Constitution has been placed in the Members’ Room so that councillors can see where all the amendments are proposed. A copy can be made available for any councillor who is not able to attend the Council Offices to review the document.
- 1.4 All parts of the Constitution have been updated with reference to ‘councillors’ instead of ‘Members’ (where applicable) and ‘staff’ instead of ‘officers’, routine

changes to staff structure, grammatical and typographical errors, consistency of expressions and formatting.

### **Part 1 - Introduction**

- 1.5 Constitution summary and explanation – minor revisions made to ensure that the section reads easily and that the explanation of the Leader and Cabinet style of governance is as simple as it can be.
- 1.6 A paragraph has been added by way of definition to confirm that singular includes the plural and that references to he or his are meant to include all genders.

### **Part 2 - Articles of the Constitution**

- 1.7 Article 1 – updated aims and values of the Council.
- 1.8 Article 2 – minor changes of style.
- 1.9 Article 3 – Added the right of the public to record any meeting not being held in private by any medium available to them (introduced by the Openness of Local Government Bodies Regulations 2014).
- 1.10 Article 4 – Added all the functions which are the responsibility of the Council under various legislation.
- 1.11 Article 5 – no changes required.
- 1.12 Article 6 - no specific changes required though there is overlap with Roles of different councillors (Part 3f).
- 1.13 Article 7 – addition of cross-reference with Part 3f in relation to membership of Overview and Scrutiny Committee.
- 1.14 Article 8 – minor style changes.
- 1.15 Article 9 – no changes required.
- 1.16 Article 10 – Amended to reflect name of committee as the Member's Code of Conduct Committee, rather than the previous Standards Committee. Also clarified that the appointment of independent persons is the responsibility of this committee, as renewals to these appointments will be required shortly.
- 1.17 Article 11 – reordered paragraph 11.3 so that it reads more easily.
- 1.18 Article 12 - Amendments to officers' duties, to ensure that this is generic to allow for the changing structure.
- 1.19 Article 13 – updated in line with Local Government (Access to Information) Regulations 2012. Proposed increase from £100k to £164k in relation to criteria for Key Decisions. This has not been increased for some years. This proposed change mirrors the threshold for major procurements at EU level, but it would be in the discretion of the Council to raise it higher if considered appropriate.
- 1.20 Article 14 – minor style changes.
- 1.21 Article 15 – minor style change.
- 1.22 Article 16 – minor style change.
- 1.23 Schedule 1 – No changes required.

### **Part 3 - Responsibility for Functions**

- 1.24 (a) Scheme of Delegation general introduction - The definition of Chief Officers has been amended to be in line with Article 12.
- (b) Terms of reference of Committees –
- 1.25 The Cabinet/Leader's local choice functions have been included in the Cabinet section.
- 1.26 Surrey First Joint Committee has been removed as the committee is now defunct.
- 1.27 The Licensing Committee section has been updated to move some of the wording from the Officer Scheme of delegations, in order to make it easier to read. Local choice functions have also been included in this section.
- 1.28 The Planning Committee section has been updated to move some of the wording from the Officer Scheme of delegations - this is designed to make it easier to read but it has no effect on the powers of either the Committee or the Head of Planning. The delegation to Committee in relation to applications with an increased floor space by change of use and those for Surrey County Council minerals and waste applications has been increased to apply to only those with over 2500m<sup>2</sup> net additional floorspace or land area. Local choice functions have also been included in this section.
- 1.29 The Cabinet agreed in July 2013 to form an Assets of Community Value Panel to consider applications under the new Community Right to Bid. The panel's membership and terms of reference, as agreed, have been added to this part.
- 1.30 (b) Member Development Policy Statement - no change required.
- 1.31 (c) Delegated functions in consultation with Cabinet Members or the Leader - these are a mix of executive and non-executive functions. Insofar as the executive functions are concerned the Leader has the ability to make changes. The Leader also has the ability to make changes to the roles of Cabinet Members listed in this section. Amendments have been made to delegation regarding asset disposals and acquisitions to be in line with the suggest amendment to the scheme of delegation to officers.
- 1.32 (d) Delegations to officers – The main changes to this document are the delegations for environmental health. The amount of legislation associated with these functions is immense, therefore it is suggested that these are amended to be more in line with the planning delegations. This eases reading and comprehension and will ensure that no legislation is missed as there is a catch all provision. Financial limits to some of the delegations have been increased to ensure that officers can take decisions quickly and are set at levels to reflect other standing orders and provisions. The other amendments are to ensure that decisions are being taken by officers who are in charge of that specific area and to ensure that current legislation is reflected in the delegations.
- 1.33 To ensure that these delegations are maintained at this level, it is suggested that the Monitoring Officer be delegated authority to amend the Scheme of Officer Delegation following the changes in staffing as a result of the Group Head appointments.

- 1.34 Appendix A - Employment policies, procedures and arrangements – updated to reflect the change to a new structure and to accommodate the proposed Deputy Chief Executive roles.
- 1.35 (e) Proper Officer functions – have been updated to reflect changes to legislation.
- 1.36 General Statutory Provisions - have been updated to reflect the departure of an Assistant Chief Executive.
- 1.37 (f) Roles of different councillors - updated as requested by Cabinet councillors.

#### **Part 4 - Procedural Rules**

- 1.38 (a) Council Standing Orders – the word ‘working’ has been added to the ‘five clear days’ in paragraph 2.1 in relation to the requirement of the Chief Executive to send notification of a meeting to councillors. The historic interpretation of ‘five clear days’ has been supported by case law to mean five periods of 24 hours running from midnight to midnight and should not include Saturdays or Sundays, so no change to the existing meaning is being suggested, the phrase is simply being clarified.
- 1.39 An additional requirement to take a recorded vote on the budget has been added in accordance with the Local Authority (Standing Orders) Regulations 2014.
- 1.40 Clarity is provided at paragraph 8.2 e) regarding membership of Audit Committee.
- 1.41 The Council at its meeting on 22 October 2015 agreed a motion for the singing of the National Anthem at a point in the proceedings to be decided by the Mayor. This applies to the Annual Council meeting and all ordinary meetings of Council but not extraordinary meetings. A change has been made to the running orders of these meetings to reflect the will of Council.
- 1.42 Finally, some numbering issues have been corrected.
- 1.43 (b) Overview and Scrutiny rules – I have removed matters arising and AOB from list of items on the agendas. This has been a custom and practice for many years, but it is generally considered as bad practice and is recommended for removal.
- 1.44 (c) Cabinet Procedure Rules – added at paragraph 11. other items of business which may be considered at Cabinet meetings, i.e. petitions, recommendations and minutes from the Local Plan Working Party and finance reports.
- 1.45 Annex A to the Cabinet Procedure Rules - this section is at the discretion of the Leader.
- 1.46 (d) Financial Regulations – More details have been included to the background section of these regulations as well as to the scope of the general financial responsibility of members and employees. Additional content and amendments to the financial accountabilities (Financial Regulation A) of Council, Cabinet and statutory officers. Amendment and additions to the responsibilities of the Chief Finance Officer. Updates arising from changes to the relevant legislation and Government guidance. Amendment to the key controls for risk management and internal audit requirements (Financial Regulation C). Amended process in relation to Contract Payments (Financial

Regulation D). These lengthy Financial Regulations are based on a national model but there is an intention of the Council's Finance section to streamline and undertake a more detailed review of this document in the next year

- 1.47 (e) Contract Standing Orders - The threshold values have been increased to be in line with current monetary value. The selection of bidders stage has been removed to be in line with EU procurement requirements for the removal of a pre-qualification stage for below threshold tenders. The requirement for member recorded opening of tenders has been removed on the basis that there is now a full audit trail as all such value procurements are through the Council's electronic procurement system.
- 1.48 (f) Officer Employment Procedure rules - the consequential amendments agreed at Council in July 2015 as a consequence of the Standing Orders Regulations 2015 will be published with the updated Constitution
- 1.49 (g) Access to Information rules - updated in line with regulations 2012 and central government guidance on open and accountable local government 2014.
- 1.50 (h) Budget and Policy Framework rules - Amendments to wording for clarity on process for development of the framework and for making decisions outside of that framework. Updates arising from changes to the relevant legislation.

#### **Part 5 - Codes and Protocols**

- 1.51 (a) Members Code of Conduct – No amendments made
- 1.52 (b) Staff Code of Conduct – Reviewed by the Members' Code of Conduct Committee in October 2014.
- 1.53 (c) Protocol for Member Officer Relations – changes made as suggested by a former Leader.
- 1.54 (d) Planning Code - Various amendments have been made after discussions with the Head of Planning and Housing Strategy and the Chairman of the Planning Committee.
- 1.55 Updates have been made in line with current legislation such as the removal of prejudicial and personal interests and the inclusion of pecuniary, non-pecuniary and conflict of interests as described in the Localism Act 2011. There have also been some minor amendments with regards to consistency such as the change of 'Councillor' to 'councillor'.
- 1.56 Changes have been made regarding lobbying on a particular Planning application. It was thought necessary to explain to councillors that they can have strong views on a particular application and can express those views in public as long as they retain an 'open mind', in the sense that councillors must have regard to all material considerations and be prepared to change their views if persuaded that they should at the associated Planning Committee, as required by the Localism Act 2011.
- 1.57 Additional explanations have been included to emphasise the distinction between predispositions and predeterminations. It was thought necessary to include a helpful guide to assist councillors in the decision making process and avoid any confusion relating to lawful decision making. It was also emphasised in this section of the importance of disclosing interests and

seeking advice from the Head of Corporate Governance with regards to pecuniary, non-pecuniary and conflict of interests.

- 1.58 After discussions with the Chairman of Planning Committee and the Head of Planning and Housing Strategy a call-in procedure has been created which formalises the stages which councillors are required to follow with regards to calling in planning applications to the Committee. A planning application other than those identified in the weekly Planning Publicity Schedule can be called in by a councillor for determination by the Committee. It is also proposed for councillors to activate the call-in by sending an email to specified Planning officers which identifies the planning reason why it should be determined by the Committee.
- 1.59 With regards to the decision making process at Planning Committee, some amendments have been made to improve the process at Committee.
- (i) Councillors should be prepared to explain in full their planning reasons for not agreeing with the officer's recommendation.
  - (ii) Councillors seeking information that is not within the report should request it a day in advance of the meeting rather than at the meeting when the answer is not always readily or easily available.
  - (iii) Councillors should not rely on officers to produce the planning reasons for their motion at a meeting. Councillors are instead encouraged to seek advice from the Head of Planning and Housing Strategy prior to the meeting.
- 1.60 Appendix A – Site Visits – The situations in which these formal visits take place has been reduced to one but this one has been widened to include applications 'of a nature that councillors feel unable to fully assess the scheme without a site inspection.' Other minor amendments have been made to keep the Constitution consistent, such as the change of 'Member' to 'councillor' and 'Officer' to 'member of staff' or 'staff'.
- 1.61 Appendix B – Public Speaking – The guidance note for public speaking has been removed as part of the Constitution as it is a separate document used by the Planning department and sent to objectors to planning applications. The Planning department regularly update this guidance note to be consistent with the 'Planning advice for Residents' webpage. Instead, Appendix B now just sets out the protocol for public speaking at the Committee.
- 1.62 (e) Confidential reporting Code – this is reviewed yearly by the Audit Committee and no changes are proposed at this review.
- 1.63 (f) Anti-Fraud, Bribery and Corruption Strategy – Minor amendments have been made to the Strategy to reflect changes to Central Government department and current structure.
- 1.64 (g) Code of Corporate Governance - The code has been updated to include the addendum for 'Delivering Good Governance in Local Government' which was published by CIPFA in 2012.
- 1.65 In terms of the Arrangements for Corporate Governance, evidence has been included to show that the Council's processes are regularly monitored and reviewed. This included the Annual Governance Statement and the Review of the Effectiveness of the System of Internal Audit
- 1.66 In terms of the appendix there have been some minor amendments in relation to consistency with the rest of the constitution.

- 1.67 (h) Monitoring Officer Code – Updated to reflect current legislation.
- 1.68 (i) Money Laundering Code – Updated to reflect current legislation and revisions due to the change of agency responsible for receiving reports from the Money Laundering Reporting Officer
- 1.69 (j) Policy on Gifts, Hospitality and Sponsorship – Minor amendment to emphasise wording regarding gifts offered but not taken.
- 1.70 (k) Conflicts of Interest policy – Minor amends to reflect current structure.

### **Part 6 - Members Allowances Scheme**

- 1.71 The Members' Allowances scheme is publicised on the Council's intranet and has not previously been included in the Constitution. It is proposed to now include the scheme in its entirety within the Constitution to provide councillors with all the relevant information relating to their allowances including issues of tax declaration. As the members allowance scheme may change annually after the Council's budget decision, the updated scheme will be placed in the Constitution once it is agreed by Council.

## **2. Options analysis and proposal**

- 2.1 Cabinet may accept all or some of the proposed amendments, or suggest additional amendments for consideration by the Monitoring Officer. The final changes may then be recommended by Cabinet to Council. Changes to the Constitution have to be subject of a report by the Monitoring Officer to the Council.

## **3. Financial implications**

- 3.1 There are none

## **4. Other considerations**

- 4.1 Surrey County Council Local Committee. The Council has received proposals from SCC to develop the current Local Committee (which is a committee of Surrey County Council) into a Joint Committee which is truly representative of both the County and the Borough. It is intended that this Committee will exercise powers on behalf of both organisations and that it will have dedicated budget for its powers. Precise terms of reference and remit have yet to be agreed with the County Council, but work is under way to achieve this. A separate report will be prepared for the Cabinet and Council to agree so that the changes will hopefully be effective in the new municipal year.

## **5. Timetable for implementation**

The proposed changes will be considered by the Members' Code of Conduct Committee on 14 April 2015 and a recommendation made to Cabinet.

### **Background papers:**

Track changed versions of the proposed alterations are available in the Members' Room and on request.

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**Cabinet****27 April 2016**

<b>Title</b>	Amendment to Pay Policy Statement for 2016/17		
<b>Purpose of the report</b>	To make a recommendation to Council		
<b>Report Author</b>	Debbie O'Sullivan, Human Resources Manager		
<b>Cabinet Member</b>	Councillor Colin Barnard	<b>Confidential</b>	No
<b>Corporate Priority</b>	This item is not in the current list of Corporate priorities but still requires a Cabinet decision		
<b>Cabinet Values</b>	Accountability		
<b>Recommendations</b>	<b>That the Council resolves to approve the amendment to the Pay Policy Statement for 2016/17</b>		

**1. Key issues**

- 1.1 A Pay Policy Statement must be agreed by Council each year, for publication by 31 March each year to apply for the following financial year. All pay decisions in the year should be in accordance with the published pay policy statement. If any changes to pay arrangements are required during the financial year an amendment can be agreed by Council to apply for the remainder of the year.
- 1.2 A senior restructure has been agreed as part of the *Towards a Sustainable Future* transformation programme to apply from April 2016. The structural changes contribute to the financial savings to be delivered by the Towards a Sustainable Future programme which also includes other elements to deliver future income and savings.
- 1.3 The restructure changes the senior management of the council by:
  - Deleting Head of Service posts
  - Replacing with fewer Group Head posts with responsibility for a wider range of services and functions
  - Designating a Unit Manager as Deputy Group Head in each Grouping to deputise for the Group Head and provide resilience
  - Amending the grade of the Deputy Chief Executive posts to take account of additional responsibilities assumed since the deletion of an Assistant Chief Executive post in April 2015
  - Ending the Council's car lease scheme.
- 1.4 There are resulting changes to the salaries and remuneration arrangements which were not known when the current Pay Policy Statement was agreed in

February 2016, and which now need to be incorporated into Spelthorne's Pay Policy Statement for the remainder of the financial year.

- 1.5 The amendments to the Pay Policy Statement are set out in the **Appendix** and include the following points:
- Change to posts designated as chief officers
  - Revised Deputy Chief Executive salary range, based on 80% of the Chief Executive's pay
  - Deletion of the Head of Service salary range
  - Introduction of a Group Head grade
  - Introduction of a Deputy Group Head grade
  - Introduction of performance related progression for the two Deputy Chief Executives
  - Ending senior staff entitlement to a car lease and replacing it with a car allowance.
- 2. Options analysis and proposal**
- 2.1 To agree the changes to the Pay Policy Statement for 2016/17 to reflect changes to the organisation's structure.
- 2.2 To not agree to the changes which will mean that the senior restructure cannot be fully implemented.
- 3. Financial implications**
- 3.1 No additional cost to these changes to Pay Policy. The changes to the senior structure will deliver savings.
- 4. Other considerations**
- 4.1 Spelthorne is required to approve and publish a pay policy statement annually and to amend it within the year if required. All pay decisions in the year must be in accordance with the published pay policy statement and agreed amendments.
- 4.2 The Council is an individual employer in its own right and has autonomy on pay elements that are appropriate to local circumstances.
- 5. Timetable for implementation**
- 5.1 The changes will be effective from immediate effect.

**Background papers:** There are none.

**Appendix:**

Appendix 1 - Amendment to the Pay Policy Statement 2016/17

Appendix 2 - Pay Policy Statement for 2016/17 agreed by Council in February 2016

## **Amendment to Pay Policy Statement for 2016/17**

The following changes to the Pay Policy Statement 2016/17 reflect changes to the senior management structure.

The Pay Policy Statement for 2015/16 noted that from April 2015 the remaining 2 Assistant Chief Executive posts would be re-titled to Deputy Chief Executives: the Deputy Chief Executive title should replace Assistant Chief Executive wherever it appears.

### **Paragraph 2.1 Chief Officers**

Amendment to sub paragraph e): Deputy chief officers are posts reporting to the head of paid service, the monitoring officer, the chief finance officer and the other Deputy Chief Executive.

Reporting to the Monitoring Officer

Principal Solicitor (deputy monitoring officer) (this is a part time post)

Reporting to the Deputy Chief Executive (chief finance officer) and the other Deputy Chief Executive

Internal Audit Manager (this is a part time post)

Group Head Commissioning and Transformation

Group Head Neighbourhood Services

Group Head Community Wellbeing

Group Head Regeneration and Growth

Group Head Finance and Customer Relations

Family Support Programme Team Manager (this post is shared with Elmbridge Borough Council and Epsom & Ewell Borough Council).

### **Paragraph 3.1**

2<sup>nd</sup> bullet point remove heads of service and replace with Group Heads

### **Paragraph 3.5 Allowances and additional payments**

Remove sentence that states: Car leases or a cash alternative allowance are applied to Head of Service posts.

Replace with: A non-pensionable car allowance is applied to Management Team posts and Group Head posts on Chief Officer terms and conditions of employment.

## **Paragraph 4 Level and elements of remuneration for chief officers**

### **Paragraph 4.1 Salaries**

Remove: The salary paid to heads of service posts depends upon the range of responsibilities and consists of a salary range of a number of increments taken from a 12 point head of service salary band. Replace with: The salary paid to Group

Head posts depends upon the range of responsibilities and consists of a salary range of a number on increments taken from a 4 point Group Head salary band.

Remove: Changes to the salary band for particular head of service posts may be agreed by the Chief Executive and Management Team if the range of responsibilities is increased

Replace the table for the full time salary scales for chief officer posts listed at Paragraph 2.1, with the table below. Where posts are filled on a part-time basis the post holders are paid pro-rata to their contractual hours.

*Note: The salary figures below do not include 2016-18 Pay Agreement for Chief Executives and Chief Officers*

<b>Post</b>	<b>Bottom of salary range</b>	<b>Top of salary range</b>
Chief Executive	£100,679	£113,512
Monitoring Officer and Head of Legal Partnership (was Head of Corporate Governance)	£60,156	£68,400
Deputy Chief Executives	£80,543	£90,809
Principal Solicitor and deputy monitoring officer	£48,439	£51,742
Group Heads	£66,329	£72,233
Family Support Programme Manager	£61,320	£61,320
Internal Audit Manager	£30,347	£46,840

#### **Paragraph 4.2 Other pay elements**

Lease cars will no longer be provided, replace the first paragraph with:

A non-pensionable car allowance is applied to the Chief Executive, Deputy Chief Executives and Group Head posts on JNC conditions of service for Chief Executives and Chief Officers as a part of the total remuneration package. Current car allowance values are £6,300 for the Chief Executive and £4,900 for the Deputy Chief Executives and Group Heads.

Deputy Group Head posts employed on chief officer conditions and posts on NJC conditions of service for Local Government Services are eligible for essential user car allowances if they are required to undertake business mileage and provide a car for work.

#### **Paragraph 4.5 Performance related pay for chief officers**

Add: Incremental progression for Deputy Chief Executives is subject to performance and achievement of targets.

March 2016

**Spelthorne Borough Council**

**Pay Policy Statement 2016-17**

**1 Purpose**

This Pay Policy Statement is the annual statement as required by the Localism Act 2011, Section 38(1), and applies for the financial year 2016-17. The purpose is to provide transparency about how Spelthorne uses public funds to pay staff.

The statement sets out Spelthorne Borough Council's policies relating to the remuneration of chief officers, the remuneration of its lowest paid employees, and the relationship between the remuneration of Spelthorne Chief Officers and other employees.

**2 Definitions**

For the purposes of this pay policy statement the following definitions will apply:

**2.1 Chief Officers**

The following Spelthorne Borough Council posts are included in the definition of chief officers:

- a) The head of paid service designated under section 4(1) of the Local Government and Housing Act 1989.

This is the Chief Executive

- b) The monitoring officer designated under section 5(1) of that Act.

This is the Head of Corporate Governance (this post is shared with Reigate & Banstead Borough Council)

- c) A statutory chief officer mentioned in section 2(6) of that Act.

This is the Deputy Chief Executive who acts as the Chief Finance Officer.

- d) Non statutory chief officers mentioned in section 2(7) of that Act.

This is the other Deputy Chief Executive post.

- e) Deputy chief officers mentioned in section 2(8) of that Act. These are posts reporting directly to the posts above, except where the duties are clerical, secretarial or support.

Reporting to the Chief Executive

Communications Manager (this is a part time post)

Reporting to the Head of Corporate Governance (monitoring officer)

Principal Solicitor (deputy monitoring officer) (this is a part time post)  
Principal Committee Manager  
Electoral Services Manager

Reporting to the Deputy Chief Executive (chief finance officer)

Internal Audit Manager  
Head of Asset Management (this is a part time post)  
Head of Customer Services and Project Management Co-ordinator  
Human Resources Manager  
Head of ICT (this post is shared with Runnymede Borough Council)  
Principal Accountant  
Economic Development Manager  
Community Development Manager  
Head of Housing and Independent Living  
Family Support Programme Team Manager (this post is shared with  
Elmbridge Borough Council and Epsom & Ewell Borough Council)

Reporting to the other Deputy Chief Executive post

Head of Streetscene  
Head of Sustainability and Leisure  
Head of Planning and Housing Strategy  
Senior Environmental Health Manager  
Building Control Manager  
Community Safety Manager

Any restructures during the year or secondments to cover short-term requirements may alter reporting relationships which could change the roles reporting to specific Chief Officer posts.

The definition of chief officers and deputy chief officers for the purposes of this Pay Policy Statement is wider than the definition normally used at Spelthorne. The 3 Management Team posts of Chief Executive and Deputy Chief Executives are generally referred to as 'chief officers' with the Head of Service posts as their deputies for their area of responsibility. A number of posts are part time or shared with other councils, as noted above.

## **2.2 Management Team**

Spelthorne Borough Council's Management Team is the Chief Executive and 2 Deputy Chief Executive posts.

## **2.3 Pay**

In addition to salary remuneration includes fees, allowances, benefits in kind and termination payments.

## **2.4 Lowest paid employees**

Refers to those staff employed within grade Scale 1 of the Council's pay framework, which is the lowest grade on the Council's pay framework. Currently there are 76 posts, 19.2% of the Council's establishment, at this level.

## **2.5 Employees who are not a chief officer**

Refers to all staff who are not covered under the 'Chief Officer' group above, including the lowest paid employees.

## **3 Pay framework – general principles applying to all staff**

### **3.1 General approach**

Remuneration at all levels needs to be adequate to recruit, retain and develop a skilled and flexible workforce to deliver services to the community and fulfil the Council's business objectives. Remuneration must be fair and reasonable in the circumstances and not unnecessarily excessive. Each Council has responsibility for balancing these factors in the light of the unique challenges locally and retaining flexibility to deal with circumstances that might arise. Pay arrangements must comply with UK legislation. Salary payments for individual postholders are pro-rated where they are employed for less than full time. Salary payments are pensionable payments, except where specified in the Pension Regulations.

Terms and conditions of employment are in accordance with national conditions of service as amended by Spelthorne. The national terms and conditions of service that apply are:

- The Joint National Committee (JNC) for Chief Executives – for the Chief Executive
- The Joint National Committee (JNC) for Chief Officers – for the Deputy Chief Executives and heads of service
- The National Joint Council for Local Government Services for other posts.

### **3.2 Responsibility for decisions on remuneration**

Decisions on pay are made in line with Spelthorne Borough Council's scheme of delegations and in accordance with employment policies, procedures and arrangements in place and staff terms and conditions of employment.

Approval for any change to the Chief Executive's salary is by the Leader of the Council if within the salary scale and existing policies or otherwise by the Cabinet/Council. Approval for any changes to the salary range for Management Team posts below Chief Executive is by the Head of Paid Service (Chief Executive) in consultation with the Leader. Approval for changes for posts below management team are the responsibility of the Head of Paid Service and Management Team within the budget, council policy framework and delegations.

Pay Awards agreed by the National Joint Council for Local Government Services are implemented as they are agreed and percentage increase pay awards are applied to all staff.

### **3.3 Salary grades and grading framework**

Grades are determined by taking account of the full scope of the job including the complexity of work, range of responsibilities and the skills and experience required to undertake them, having regard to the need for equal pay for work of equal value. Each grade consists of a number of points from the Spelthorne pay spine, from the bottom to the top of the grade. The top of grade is considered to be the rate of pay for a fully experienced, qualified and competent post holder. Incremental progression is subject to satisfactory performance. Accelerated increments can be awarded in exceptional circumstances within the grade but not beyond the top of the grade.

Incremental progression for the two Deputy Chief Executives is subject to performance and achievement of targets.

### **3.4 New starters joining the Council**

Appointments are made at the bottom of the salary scale, or at an appropriate point taking into account relevant skills and experience, and staff progress through the scale to the maximum of the grade over a number of years as experience is gained, subject to satisfactory performance.

### **3.5 Allowances and additional payments**

Additional payments may be approved by the Chief Executive, Deputy Chief Executives and Management Team in the case of a member of staff undertaking additional duties for an extended period of time outside the normal responsibilities of their post or to complete specific tasks. For example to cover the duties of a vacant post which is at a higher grade, to undertake additional work in relation to a time-limited project, or where a formal partnership/secondment arrangement is in place with another local authority resulting in additional duties, responsibilities, complexity and working hours and it is not appropriate to otherwise change the grade of the post.

Spelthorne will consider paying a recruitment or retention allowance in order to maintain service provision where it has been difficult to recruit to a vacant post or to retain staff in a particular service and specific criteria are met (policy agreed by the Executive on 9 December 2003). Recruitment and retention payments are a separate payment, not consolidated into salary, and are subject to annual review and removed when no longer justified.

Essential user and casual user car allowances are payable where staff are required to use their own vehicles for council business. A non-pensionable car allowance is applied to the Chief Executive and Deputy Chief Executive posts (car leases no longer apply to these posts). Car leases or a cash alternative allowance are applied to Head of Service posts. Committee Allowance payments are payable where staff are required to attend Council meetings outside normal working hours (except for Management Team and head of service posts who do not receive additional payment).

### **3.6 Pay awards**

Spelthorne applies the national pay awards agreed by the National Joint Council for Local Government Services to all staff including Chief Officers. Pay awards are implemented as they are agreed, from the agreed effective date.

### **3.7 Pension scheme**

All Spelthorne staff including Chief Officers are eligible to join the Local Government Pension Scheme with employee contributions tiered according to salary band. Employee contributions range from 5.5% for pensionable pay up to £13,600 to 12.5% for pensionable pay above £151,800 (the top rate does not apply to any Spelthorne posts).

The Council's pension current service contribution as employer is currently 15.8% (additionally there is a past service deficit contribution paid as a single lump sum of £1,018,000 by the Council). Employer contribution rates are reviewed every 3 years following a revaluation of the pension fund and



pension liabilities in relation to current and past members. The next revaluation is due in 2016

### **3.8 Policy on employing someone who has taken redundancy from another authority**

An individual who has been made redundant from another council may apply to work at Spelthorne and would be considered against the required criteria for the post. If they accept an offer of employment with Spelthorne before the end of their employment with the other council to take effect within 4 weeks of leaving then they will not be due a redundancy payment from the previous employer and will retain continuity of service. If the gap is longer than 4 weeks their continuous service is broken, which means that they would have no eligibility for redundancy payments until they have 2 years further service.

### **3.9 Policy on employing someone who is also drawing a pension**

In line with the pension regulations Spelthorne has a flexible retirement policy and will consider requests from staff who wish to draw their pension and continue working in a reduced capacity. Requests will only be agreed where there is a salary saving through either reduced hours or responsibility.

An individual who is drawing a pension in relation to a previous employment may apply to work at Spelthorne and would be considered against the criteria for the post. If they are appointed, the salary will be in accordance with the grade for the job, with abatement of their pension subject to the rules of the appropriate pension scheme of the pension in payment, as apply at the time.

### **3.10 Policy on increase in or enhancement to pension entitlements**

Pension entitlements are in line with the Local Government Pension Scheme Regulations and Spelthorne Pensions Policy in operation at the time.

Spelthorne's Pension Policy was agreed by the Council on 24 April 2014. It applies to all Spelthorne employees including Chief Officers. The Pension Policy is attached as an Appendix to the Pay Policy Statement.

### **3.11 Payment arrangements**

Employees, including chief officers, are paid through payroll and subject to appropriate income tax and national insurance deductions.

## **4 Level and elements of remuneration for chief officers**

### **4.1 Salaries for chief officers**

Spelthorne policy is to pay chief officers according to the Spelthorne salary grade appropriate for the duties and responsibilities of the job. Each grade consists of a number of points from the Spelthorne pay spine, from the bottom to the top of the grade.

The salary paid to heads of service posts depends upon the range of responsibilities and consists of a salary range of a number of increments taken from a 12 point head of service salary band. Changes to the salary band for particular head of service

posts may be agreed by the Chief Executive and Management Team if the range of responsibilities is increased.

The current full time salary scales for chief officer posts listed in Paragraph 2.1 above are set out in the table below. Where posts are filled on a part-time basis the post holders are paid pro-rata to their contractual hours.

<b>Post</b>	<b>Bottom of salary range</b>	<b>Top of salary range</b>
Chief Executive	£100,679	£113,512
Head of Corporate Governance (monitoring officer)	£60,156	£68,400
Deputy Chief Executives	£80,543	£90,809
Communications Manager	£34,288	£41,450
Principal Solicitor and deputy monitoring officer	£48,439	£51,742
Principal Committee Manager	£34,288	£36,952
Electoral Services Manager	£30,347	£41,450
Heads of service	£52,115	£68,400
Principal Accountant	£48,439	£51,742
Community Safety Manager / Economic Development Manager	£37,993	£46,840
Family Support Programme Team Manager	£61,320	£61,320
Community Development Manager	£34,288	£41,450
Senior Environmental Health Manager	£48,439	£51,742
Building Control Manager	£43,628	£51,742
Internal Audit Manager	£30,347	£46,840
Human Resources Manager	£48,439	£51,742

Any restructures during the year or secondments to cover short-term requirements may alter reporting relationships and could change the roles reporting to specific Chief Officer posts, with the appropriate salary range from Spelthorne grades applying.

#### **4.2 Other pay elements for chief officers**

Lease cars no longer apply to Management Team posts: a non-pensionable car allowance is paid to the Chief Executive and Deputy Chief Executives as part of the total remuneration package. Current car allowances are £6,300 for the Chief Executive and £4,900 for the Deputy Chief Executives. Lease cars are provided to heads of service who are employed on JNC conditions of service for Chief Officers as a part of the total remuneration package or a cash alternative allowance is paid as an alternative. Lease cars and cash alternatives are not pensionable. Current lease car values are £4,293 for heads of service.

The salaries for chief officer posts on JNC terms and conditions for Chief Executives / Chief Officers (the Chief Executive, Deputy Chief Executives and heads of service

posts) are inclusive salaries with no additional recompense for additional hours worked, for attendance at Council or other meetings outside of normal working hours, for expenses, for telephone use or for business mileage, except for journeys of 100 miles or more. A mileage rate equivalent to the HMRC rate for company cars applies (14p per mile for most vehicles) for journeys of 100 miles or more.

Posts listed as deputy chief officers which are employed on the NJC conditions of service for Local Government Services are eligible for car allowances if they are required to undertake business mileage, committee attendance allowance if they are required to attend council or other meetings outside normal working hours, overtime payments if required to work additional hours and they may claim for reimbursement of expenses incurred in the performance of their duties.

Professional fees required for the post are paid (for example membership of CIPFA for the chief finance officer and legal practising certificate for the monitoring officer).

Election fees are paid separately for additional duties and responsibilities undertaken as elections fall. The Chief Executive acts as Returning Officer at elections and other chief officers may receive payments for any additional work undertaken during a national or local election as deputy returning officers, presiding officers or poll clerks at polling stations or for working at the election counts. Election fees are set as elections are called taking account of guidance issued by the Ministry of Justice.

#### **4.3 Remuneration of chief officers on recruitment**

Starting salaries are at the bottom of the salary scale, or at an appropriate point taking into account relevant skills and experience.

Chief Executive and Management Team approval is required before recruitment to any post below management team level. Approval to fill posts at management team level and for heads of service where the salary extends to the maximum of the head of service grade requires the agreement of the Leader of the Council, with selection decisions made by a member Appointments Committee and ratified by Council if required (for Chief Executive). New appointments may be eligible for removal expenses under the Council's Home Relocation Policy.

#### **4.4 Increases and additions to remuneration for each chief officer**

Salaries are increased by any pay award agreed in the year. Spelthorne applies the national pay awards agreed by the National Joint Council for Local Government Services to all staff including Chief Officers. Pay awards are implemented as they are agreed, effective date as agreed.

Changes to salary ranges and other pay elements must be agreed by the Leader/Cabinet for the Chief Executive, by the Chief Executive in conjunction with the Leader for Deputy Chief Executive posts and by the Chief Executive and Management Team for all other posts.

#### **4.5 Performance related pay for chief officers**

There is no additional performance related pay for Spelthorne chief officers or any other staff. Progression through increments is subject to satisfactory performance. Incremental progression for the Deputy Chief Executives is subject to performance and achievement of targets. Once an employee reaches the top of their salary scale there is no opportunity to earn more.

#### **4.6 Bonuses for chief officers**

There are no bonuses available for chief officers or for other staff.

#### **4.7 The approach to the payment of chief officers on their ceasing to hold office under or to be employed by the authority**

Spelthorne's Discretionary Compensation Policy agreed by the Executive on 6 February 2007 and confirmed by Cabinet in July 2014, sets out the approach for payments in the event of termination on the grounds of redundancy and efficiency of the service. There is a consistent method of calculating redundancy pay which is applied to all redundant employees, including chief officers, with the level of redundancy pay calculated using the statutory matrix with a multiplier of 2 and at actual weekly earnings (to a maximum of 60 weeks' pay for staff with over 20 years local government service). The redundancy payment is intended to recompense employees for the loss of their livelihood and provide financial support whilst they seek alternative employment and applies when a post is deleted. In the case of termination on efficiency grounds payments would depend on the circumstances of the case and would exceed the amount due for redundancy only in exceptional circumstances, to a maximum of 104 weeks.

The government has consulted on introducing a public sector cap on exit payments and, if agreed, this may affect redundancy/termination payments for chief officers. The taxation of termination payments is in accordance with statutory provisions.

#### **4.8 Additional payments for chief officers**

Additional payments may be approved in the case of a member of staff undertaking additional duties for an extended period of time outside the normal responsibilities of their post. For example to undertake additional responsibilities, to cover the duties of a vacant post which is at a higher grade, to undertake additional work in relation to a time-limited project, or where a formal partnership/secondment arrangement is in place with another local authority resulting in additional duties, responsibilities, complexity and working hours and it is not appropriate to otherwise change the grade of the post.

### **5. The remuneration of the lowest paid employees**

The lowest paid employees are those in posts graded at Scale 1, which has a current salary range from £15,690 to £17,791 per annum. The pay rate at the bottom of scale 1 is £8.35 per hour compared to the national minimum wage of £6.70 per hour (National Minimum Wage rate from 1 October 2015 for workers aged 21 and over) and the National Living Wage of £7.20 per hour from April 2016 for workers aged 25 and over. The Living Wage Foundation's non-statutory UK Living Wage is £8.25 per hour.

Young people employed as Apprentices for the temporary period of their apprenticeship training are paid on an appropriate pay rate taking into account the level of work and level of qualifications to be obtained with a minimum of the appropriate statutory minimum wage rates [£3.30 per hour Apprentice rate for under 19 year olds, The National Minimum Wage rate of £3.87 per hour for under 18 year olds, £5.30 per hour for 18 – 20 year olds and £6.50 per hours for 21 years and over].

**6. The relationship between the lowest and highest paid staff**

The ratio between the lowest and highest paid salaries is less than 1:8. The lowest salary rate is £15,690, the top of the Chief Executive's salary scale is £113,512 which is a pay multiple of 1:7.23.

**7. The relationship between the highest paid employee and employees who are not chief officers**

The ratio between the median earnings across the organisation and the taxable pay of the highest paid employee (the Chief Executive) is 1:3.99

The ratio between the mean average earnings across the organisation and the taxable pay of the highest paid employee (the Chief Executive) is 1:4.32

**8. Salary and severance payments over £100,000**

8.1 Spelthorne has one post with a salary package above £100,000, the Chief Executive. The appointment of a new Chief Executive is made in accordance with the council's Constitution and statutory provisions. There would be a report to members on the arrangements for an appointment, including the salary level, and the appointment would be made by a member Appointments Committee and confirmed after ratification by full Council.

8.2 Severance payments are made in accordance with the council's Discretionary Compensation Policy and would exceed £100,000 only in exceptional circumstances. Redundancy payments are based on the statutory matrix and Spelthorne multiplier to a maximum of 60 weeks' pay. Severance payments on the grounds of efficiency will exceed that level only in exceptional circumstances. To date no staff have received direct severance payments over £100,000.

8.3 Where the severance payment made to the individual and any pension costs payable by Spelthorne total over £100,000 the amounts are reported in the Statement of Accounts for the year that the termination was agreed (the termination may take effect in a subsequent financial year).

**9. The publication of and access to information relating to remuneration of chief officers**

The annual pay policy statement is published on the Spelthorne Borough Council website where it can be easily accessed by tax payers and external organisations.

Pay Policy Statement effective from April 2016

Appendix to Pay Policy Statement: Pension Policy

Appendix to Pay Policy Statement: Discretionary Payments Policy

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