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Date: 17 September 2019

## Notice of meeting

### Cabinet

**Date:** Wednesday, 25 September 2019

**Time:** 7.30 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)	Leader and Council Policy co-ordination
A.C. Harman (Deputy Leader)	Deputy Leader and Finance
M.M. Attewell	Community Wellbeing and Housing
R.O. Barratt	Environment and Compliance
J.R. Boughtflower	Corporate Management
O. Rybinski	Economic Development, Customer Service, Estates and Transport

*Councillors are reminded that the Gifts and Hospitality Declaration book will be available outside the meeting room for you to record any gifts or hospitality offered to you since the last Committee meeting.*

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

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

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## AGENDA

**Page nos.**

1. **Apologies for absence**  
To receive any apologies for non-attendance.
  
2. **Minutes** **5 - 20**  
To confirm the minutes of the ordinary meeting held on 17 July 2019 and the two Extraordinary meetings held on 11 September 2019 as correct records.
  
3. **Disclosures of Interest**  
To receive any disclosures of interest from councillors in accordance with the Council's Code of Conduct for members.
  
4. **Leader's announcements**  
To receive any announcements from the Leader.
  
5. **Overview and Scrutiny Work Programme** **21 - 24**  
To receive and note the Overview and Scrutiny Committee work programme for 2019-2020.  
  
To suggest any topics that Cabinet wish to invite Overview and Scrutiny Committee to consider for inclusion in its work programme.
  
6. **Recommendation from the Audit Committee on Corporate Risk Management** **25 - 36**  
**Councillor A.C. Harman**  
  
To consider the recommendation from the Audit Committee held on 25 July 2019 on the Corporate Risk Register.
  
7. **Recommendations from the Local Plan Working Party** **To Follow**  
**Councillor I.T.E. Harvey**  
  
To consider the recommendations from the Local Plan Working Party meeting held on 16 September 2019.
  
8. **Capital Monitoring Q1 (April to June)** **37 - 42**  
**Councillor A.C. Harman**  
  
To note the Capital spend for the period April to June 2019.

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|------------|--|------------------|
| <b>9.</b>  | <b>Revenue Monitoring Q1 (April to June)</b><br><b>Councillor A.C. Harman</b>  | <b>43 - 52</b>   |
|            | <p>To note the Revenue spend for the period April to June 2019.</p>  |                  |
| <b>10.</b> | <b>Proposed new extension to Fordbridge day centre</b><br><b>Councillor I.T.E. Harvey</b>  | <b>53 - 70</b>   |
|            | <p>To consider a report on a proposed extension to the Fordbridge day centre, Ashford and make a recommendation to Council.</p>  |                  |
| <b>11.</b> | <b>Appointment of Independent Remuneration Panel member</b><br><b>Councillor I.T.E. Harvey</b>   | <b>To Follow</b> |
|            | <p>To consider the appointment of a replacement member on the Independent Remuneration Panel and make a recommendation to Council.</p>   |                  |
| <b>12.</b> | <b>Urgent Action</b>   |                  |
|            | <p>To note an urgent action undertaken by the Chief Executive.</p> <p>On 3 September 2019 the Chief Executive in consultation with the Leader, agreed one letting within the Thames Tower, Reading. This is not a Key Decision. The matter was considered as urgent action because the proposed tenant required completion of the letting before the Cabinet was next due to meet.</p> |                  |
| <b>13.</b> | <b>Urgent items</b>  |                  |
|            | <p>To consider any items which the Chairman considers as urgent.</p>   |                  |
| <b>14.</b> | <b>Exempt Business</b>   |                  |
|            | <p>To move the exclusion of the Press/Public for the following item, in view of the likely disclosure of exempt information within the meaning of Part 1 of Schedule 12A to the Local Government Act 1972, as amended by the Local Government (Access to Information) Act 1985 and by the Local Government (Access to information) (Variation) Order 2006.</p>                         |                  |
| <b>15.</b> | <b>Exempt report - Investment acquisition X - Key decision</b><br><b>Councillor I.T.E. Harvey</b>  | <b>To Follow</b> |
|            | <p>To consider the acquisition of a site and make a recommendation to Council.</p> <p><b>Reason for exemption</b><br/>This report contains exempt information within the meaning of Part 1 of Schedule 12A to the Local Government Act 1972, as amended by the</p>   |                  |

Local Government (Access to Information) Act 1985 and by the Local Government (Access to information) (Variation) Order 2006 Paragraph 3 – Information relating to the financial or business affairs of any particular person (including the authority holding that information) and in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information because, disclosure to the public would prejudice the financial position of the authority in the bidding process for the site by allowing other bidders to know the position of the Council. This in turn prejudices the Council by (i) distorting the bids process and (ii) prejudicing the opportunity for the Council to acquire a site in order to enable regeneration in the Borough.

## **Minutes of Cabinet**

**17 July 2019**

### **Present:**

Councillor I.T.E. Harvey, Leader and Council Policy co-ordination  
Councillor A.C. Harman, Deputy Leader and Finance  
Councillor M.M. Attewell, Community Wellbeing and Housing  
Councillor R.O. Barratt, Environment and Compliance  
Councillor J.R. Boughtflower, Corporate Management  
Councillor O. Rybinski, Economic Development, Customer Service, Estates  
and Transport

**Apologies:** None

**Councillors in attendance:** Councillor C. Bateson

### **2614 Minutes**

The minutes of the Cabinet meeting held on 19 June 2019 were agreed as a correct record.

### **2615 Disclosures of Interest**

There were none.

### **2616 Infrastructure Feasibility Fund - Key Decision**

Cabinet considered a proposal to participate in the Infrastructure Feasibility Study fund for Surrey.

Surrey Boroughs and Districts are not attracting central government and LEP infrastructure funding due to a lack of feasibility studies. This dedicated fund will ensure that resources are available to support project development at an early stage.

Alternative options considered and rejected:

Not to contribute to the scheme which would put Spelthorne at further risk of falling behind.

### **Resolved to:**

1. Participate in the Infrastructure Feasibility Study for Surrey;
2. Commit a one-off sum of £210,000 to the Fund for 2019/20.

### **Reason for the decision**

Investment in project development is needed at an early stage to develop a pipeline of projects able to apply for full project funding when bidding rounds become available. This fund would ensure there were dedicated resources to

develop a robust pipeline of schemes to kick start infrastructure and regeneration within Spelthorne.

**2617 Housing Delivery Test Action Plan**

Cabinet noted the report on the Housing Delivery Test Action Plan.

The Ministry of Housing, Communities and Local Government (MHCLG) requires Spelthorne to produce a Housing Delivery Test Action Plan because our housing delivery over the previous three years has been less than 95% of the housing requirement.

No alternatives were considered as this is a government requirement.

**Resolved** to adopt the Housing Delivery Test Action Plan.

**Reason for decision**

To ensure that the Council delivers the number of housing units expected by central government.

**2618 Public Space Protection Orders - Unauthorised Moorings**

Cabinet considered a proposal to consult on new powers to prevent unauthorised mooring.

There had been an increase in recent years of boats mooring without permission along the River Thames which has had a detrimental effect on those living in the locality. A consistent approach to mooring enforcement was proposed with ongoing discussions with Elmbridge and Runnymede Borough Councils

Alternative options considered and rejected:

1. Undertake a review of byelaws. This was rejected as the process is time consuming, does not cover anti-social behaviour and waterside land ownership through the three boroughs of Spelthorne, Elmbridge and Runnymede is complex.
2. Implement a managed moorings project. This was rejected as it relied on the land being local authority controlled.
3. Do nothing. This was rejected as it was likely to result in a deteriorating situation and increased number of complaints.

**Resolved** to:

1. Support the proposed consultation on approaches to manage mooring without consent;
2. Consider the results of the initial stakeholder consultation once the consultation period had closed to agree next steps.

**Reasons for decision**

To engage with the community on a proposed change to enforcement on the River Thames and work on partnership with other councils to achieve a consistent approach to mooring enforcement in the area.

**2619      Annual Report 2018-19**

Cabinet noted the Annual Report which highlighted the corporate priorities, key achievements and work of the Council for the municipal year 2018-19.

**2620      Leader's announcements**

The Leader made the following announcements:

HRH Princess Alexandra KG GCVO presented The Swan Sanctuary in Shepperton with the Queen's Award for Voluntary Service on 2 July 2019. This is the highest award given to volunteer groups across the UK.

The Capture Spelthorne Awards ceremony was held at Shepperton Studios. The top photo was awarded to Elaine Wisden.

There are 13 categories in the Spelthorne Means Business Awards 2019. Nomination entry is until 30 September and the black tie gala dinner is on 17 October to announce the winners at Shepperton Studios.

Parks Officer, Richard Leppard, has retired after serving Spelthorne Council for 50 years.

The Council's Community Wellbeing team have started regular visits to St Peter's hospital wards to liaise with patients directly about services available which may help them once back home. These include handyperson grabrails, Meals on Wheels, Community alarms, social prescribing.

Spelthorne Planning Committee has granted planning permission for a new development by Berkeley Homes at 17-51 London Road, Staines-upon-Thames.

A Planning Application has been submitted to build a hostel for single homeless people on The White House site on Kingston Road, Ashford.

Work to replace the roof of the Clock Tower at the Council Offices in Knowle Green is being carried out. The works are expected to be completed by the end of July.

Free Music in the Park took place on 7 July at The Walled Garden, Thames Street, Sunbury-on-Thames, TW16 6AB, from 2-4pm, with a performance by Saxophany.

To move away from the recycling of single-use plastics towards avoiding them altogether, we are working towards zero use across our own operations and services.

The Laleham Riverside clean-up will take place on 18 July with the Surrey Canoe Club and NCS volunteers from 10am followed by a community BBQ at 1pm.

Over 15 tonnes of unwanted items were cleared from Viola Avenue in Stanwell during two street clean days on 29 May and 5 June.

**2621 Urgent items**

There were none.

**2622 Exempt Business**

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

**2623 Exempt report - White House Hostel Construction Budget - Key Decision**

*Paragraph 3 – Information relating to the financial or business affairs of any particular person (including the authority holding that information)*

Cabinet considered an exempt report seeking approval of a capital spend for the construction budget to provide a 31 bedroom hostel and facilities for severe weather emergency accommodation for the homeless.

Alternative options considered and rejected by the Cabinet:

- To do nothing
- To delay works

**Resolved to:**

1. Approve the capital spend as set out in the cost plan in Appendix 2 to the report;
2. Authorise the Chief Financial Officer to make prudent financing arrangements for the transaction, should Homes England grant funding fall below the threshold specified in the report;
3. Authorise the Head of Corporate Governance to enter into any legal documentation necessary to implement this construction project, including any legal agreements required in order to receive grant funding from Homes England;
4. Authorise the Portfolio Holder and Group Head for Regeneration and Growth to authorise the appointment of a suitable contractor to undertake these works.



### **Reasons for decision**

- To take advantage of a time-limited grant funding programme which requires completion of the hostel by 31 March 2021.
- To improve the quality and quantum of accommodation within the Borough for vulnerable homeless households.
- To align Spelthorne Borough Council with the requirements of the Homeless Reduction Act.

### **2624 Exempt report - Property Letting A**

*Paragraph 3 – Information relating to the financial or business affairs of any particular person (including the authority holding that information)*

Cabinet considered an exempt report seeking approval to the letting of a property owned by the Council.

**Resolved** to approve the letting of property 'A' as detailed in the report to Cabinet.

### **Reason for decision**

The letting will generate an additional income for the Council and reduce the Council's current exposure to void costs. The letting is consistent with the strategy outlined at the time of purchase.

### **NOTES:-**

- (1) ***Members of the Overview and Scrutiny Committee are reminded that under Overview and Scrutiny Procedure Rule 16, the "call-in" procedure shall not apply to recommendations the Cabinet makes to the Council. The matters on which recommendations have been made to the Council, if any, are identified with an asterisk [\*] in the above Minutes.***
- (2) ***Members of the Overview and Scrutiny Committee are entitled to call in decisions taken by the Cabinet for scrutiny before they are implemented, other than any recommendations covered under (1) above.***
- (3) ***Within five working days of the date on which a decision of the Cabinet or a Cabinet Member is published, not less than three members [one of whom must be the Chairman] of the Overview and Scrutiny Committee are able to "call in" a decision;***
- (4) ***To avoid delay in considering an item "called in", an extraordinary meeting of the Overview and Scrutiny Committee will be convened within seven days of a "call in" being received if an ordinary meeting is not scheduled in that period;***

- (5) ***When calling in a Cabinet decision for review the members doing so should in their notice of "call in":-***
- ***Outline their reasons for requiring a review;***
  - ***Indicate any further information they consider the Overview and Scrutiny Committee needs to have before it in order to conduct a review in addition to the written report made by officers to the Cabinet;***
  - ***Indicate whether, where the decision was taken collectively by the Cabinet, they wish the Leader or his nominee (who should normally be the Cabinet Member) or where the decision was taken by a Cabinet Member, the member of the Cabinet making the decision, to attend the committee meeting; and***
  - ***Indicate whether the officer making the report to the Cabinet or the Cabinet Member taking the decision or his/her representative should attend the meeting.***
- (6) ***The deadline of five working days for "call in" by Members of the Overview and Scrutiny Committee in relation to the above decisions by the Cabinet is the close of business on 25 July 2019.***

## **Minutes of Extraordinary Cabinet**

**11 September 2019**

### **Present:**

Councillor I.T.E. Harvey, Leader and Council Policy co-ordination  
Councillor A.C. Harman, Deputy Leader and Finance  
Councillor M.M. Attewell, Community Wellbeing and Housing  
Councillor R.O. Barratt, Environment and Compliance  
Councillor J.R. Boughtflower, Corporate Management  
Councillor O. Rybinski, Economic Development, Customer Service, Estates  
and Transport

**In attendance:** Councillors C. Bateson, V.J. Leighton, R.W. Sider BEM and R.A. Smith-Ainsley

### **2625 Disclosures of Interest**

Cllr Ian Harvey declared that he had met representatives from Heathrow Airport Limited and the Arora Group, in relation to the Heathrow West option, at the highest levels but had received no benefit from those meetings.

### **2626 Heathrow - Response to Airport Expansion Consultation - Key Decision**

The Leader advised that he would deal with all the items on the agenda together as they related to the same matter.

He invited Councillor Leighton, as Chairman of Overview and Scrutiny Committee, to address the meeting on the recommendation from the extraordinary meeting held on 3 September 2019. The recommendation was set out in a supplement to the agenda.

Councillor Leighton reported that in discussing the Overview and Scrutiny (O&S) work programme with her Vice-Chairman, Councillor McIlroy, following a meeting in July, he was very clear that he wished O&S to scrutinise what was likely to be the most important issue Spelthorne was ever going to face. She agreed at that time to identify a date for a meeting specifically to consider this. At the July Council meeting, the Leader asked the Committee to be involved in considering the Council's response to Heathrow's consultation and two motions on the Council's policy stance were referred to Overview and Scrutiny. The Committee had looked at all the issues in the round and having received presentations, detailed information on the component parts of expansion and discussed the viable options for each issue that the expansion proposals raised, agreed the recommendations now before the Cabinet.

She explained that in the past the Council had supported the third runway in principle due to the positive economic benefits it would bring to the Borough

and employment for its residents. This support had always been subject to caveats that environmental and noise concerns needed to be mitigated to the Council's satisfaction and that the Wider Property Offer Zone be extended into the Borough to satisfactorily recompense its residents. She said the Committee was dismayed that despite all efforts not only did the 10 demands seeking mitigation of those concerns remain unaddressed but also that the latest unexpected proposals would be potentially far worse for communities. The recommendation from the Committee had expressed this and that future support for any proposals must be conditional upon the Council's concerns being met.

The Council had received a petition containing over 400 signatures calling on the Council to engage with the Stanwell, Stanwell Moor and Ashford North communities and to actively oppose Heathrow's Airport expansion plans. An explanatory letter from the petition organisers and the Petition statement was contained within a supplement to the agenda.

In accordance with the Council's Petition Scheme, the matter had been referred to the Cabinet for consideration. The Leader invited Paul Jacobs, on behalf of the petitioners, to address the Cabinet on the Stanwell's Green Lungs petition.

Mr Jacobs called on Spelthorne Borough Council to overturn its support for expansion at Heathrow, due to its plans for open green space in Stanwell and Stanwell Moor and the resulting negative environmental impacts this would bring to those communities.

The Leader responded to the petition with the following statement:

"Historically, Spelthorne Council has supported Heathrow and the principle of a new North West runway, due to the wider economic benefits it brings to the borough. In December 2016 I put forward a motion in support of the principle of expansion at Heathrow, which was agreed by the Council. The Motion read:

"Mindful of the massive, positive, economic impact that a vibrant and viable Heathrow has on the economy of Spelthorne, and in particular the 3,600 families who rely directly upon it for their income, this Council warmly welcomes the recent Government announcement of the third runway. We are of course mindful of environmental and noise concerns and will work with Heathrow and other stakeholders to ensure those are mitigated."

The petition from Stanwell's Green Lungs is asking a number of bodies and organisations to "actively oppose" what the petitioners call the "detrimental plans" being put forward by Heathrow around expansion. It is also asking for the Council to "engage with the Stanwell, Stanwell Moor and Ashford North Communities". Unfortunately, I am not able to speak on behalf of others such as the Home Office, but I can speak on behalf of Spelthorne Council. I can confidently say that over the past three years we have actively engaged with those communities who will be most directly affected by the expansion, as proposed in its current form. Presentations, along with question and

answer sessions, have been held both here at the Council Offices and in Stanwell Moor and Stanwell on a number of occasions. During the most recent Heathrow Airport Expansion Consultation we issued over 7,000 leaflets to those areas most affected to raise awareness. Our Community Development Manager has been working hard with local communities to understand their concerns to feed into this Council's response. There is Councillor representation on the internal Heathrow Expansion Working Group to ensure community views are fed in to all Council responses. We also set up our own email account so that residents could feed their comments directly into us as well as to Heathrow on their expansion plans. I am confident that we have actively engaged with our communities and listened to what they have said.

It is clear from the 173 page detailed technical response which is on this Cabinet agenda that the Council has a number of issues around the current proposals for an expanded Heathrow. These have been distilled into a series of 80 detailed actions that we expect Heathrow to respond to positively at a technical level. Overview and Scrutiny, as you have just heard, have set out a number of high level strategic demands. This includes those areas that the petitioners have raised around loss of green space through the creation of a Southern Parkway and two substantial construction sites which will be in situ for a generation.

In a large number of areas information is scant or entirely absent, which means we are not in a position to make informed judgements on a number of key issues such as transport impacts (and how they affect our residents). We are not convinced that Heathrow have fully engaged with all those affected in a meaningful and transparent way. This reflects the views we have heard from our residents, and we will continue to make these points to Heathrow.

Heathrow is an important driver economically for businesses and jobs in Spelthorne. The airport currently generates 72,000 direct jobs, with an additional 114,000 in the supply chain. It is a significant employer in the borough with around 6.9% of the borough's total workforce working there. This increases to just over 25% in Stanwell North.

With expansion, the expectation is that the number of jobs will increase by around 26,800 to 99,500. These roles will require different skills sets, offering careers (with progression opportunities) rather than simply a job.

An expanded Heathrow would deliver an additional 5,000 apprenticeships. Many of these would be brand new posts. Others would include the upskilling of existing staff. We need to ensure that our residents are given a guaranteed opportunity to access these apprenticeships.

We have the UK's biggest 'port' on our doorstep. In 2017, £106bn of UK goods travelled through Heathrow – more, by value, than Felixstowe and Southampton combined (£96m). 33% of all UK long-haul goods by value travel via Heathrow. Gatwick by comparison is 0.23%. Without increasing the connections to additional cities around the world, the UK may lose its place

in the world as the 5th largest economy as other nations compete for markets to increase trading opportunities.

The future prosperity of the UK is important for all of us. With a third runway, estimates by the Government and the Airports Commission put benefits to passengers and the wider economy would be between £61 billion to £211bn over 60 years. This will be critical in helping the UK to increase the share of the market with the rest of the world beyond the E.U and help to maintain and create jobs as well as increasing prosperity.

Locally, Spelthorne is home to major worldwide brands such as BP, Shepperton Studios, Netflix and Wood Group amongst others. Proximity to Heathrow is undoubtedly a pull factor. These companies bring opportunities for our residents to access quality jobs. An expanded Heathrow will also give local businesses the chance to access their substantial supply chain.

I entirely agree with the Overview and Scrutiny Committee's conclusion that the expansion as currently proposed is not the right one for our communities. What is not without doubt though is that Heathrow needs a third runway due to the economic benefits that it will bring.

Turning now to the two other matters raised in the petition. As a Council we have clearly stated on a number of occasions that the Immigration removal Centre must not be located within this borough. The current Airport Expansion Consultation shows the IRC located in the London Borough of Hounslow, but we understand that the final location will be determined by the Home Office, based on their requirements. We wrote to the Home Office last year and set out in the strongest terms possible why the IRC must not be in our borough. We will continue to push to ensure that this stays the case.

As regards Oak Leaf Farm, Surrey County Council have currently allocated the site as one with potential for all types of waste treatment. They are not formally proposing thermal treatment but have said that it is a possibility. As a Council, we are objecting to the potential scale of use on the site. Councillors wrote to Surrey County Council at the end of their formal consultation back in March 2019 stating that the Council will not accept incinerator or thermal waste treatment on this site. Officers from the Council will be appearing on 17 and 18 and 24 and 25 September at the Inquiry into the Minerals and Waste Plan to ensure our objections are set out very clearly in front of the independent Inspector.

**Resolved** not to take the action requested in the petition for the reasons stated.

The Group Head for Regeneration and Growth advised Cabinet that the detailed technical responses at Appendix 3 had been reviewed by a team of external legal experts with a view to bolstering the legal references in that document. The document before Cabinet would therefore be subject to further minor alterations in relation to the technical details.

The Cabinet considered the report on the response to Heathrow's airport expansion proposals together with the appendices including the covering letter (which was tabled at the meeting), key issues and benefits, and detailed responses.

The Leader made the following statement in relation to the Council's response to the consultation and the recommendations from Overview and Scrutiny Committee:

"Over the summer, Heathrow have been consulting on their current Airport Expansion proposals (including their preferred masterplan). This has provided some more detail around what the expansion would look like, and how it would take place. However, despite the substantial volume of material produced for the consultation, there remains a wealth of information, detail and strategies that are missing, or not yet available. In many cases, this will only be submitted with the application for Development Consent which is far too late.

This means that we have not been able to fully assess the impact of Heathrow's current expansion proposals on the borough or our residents. Our response has therefore had to focus on what we do know, whilst at the same time highlighting the deficiencies.

There is the risk that fundamental issues remain unconsidered and unresolved without the opportunity for Spelthorne (and others) to have meaningful engagement in this process. This would represent a flaw in Heathrow's consultation and we intend to raise it with the Planning Inspectorate when asked for our views on its adequacy if further consultation does not occur.

The Council has always been consistently clear that expansion cannot be at the expense of local communities or the environment. Cabinet do not intend to change from this stance. It is clear from the detailed technical response on the agenda this evening that our environment and our communities, and particularly Stanwell Moor and Stanwell Village, will be affected by the proposed expansion as currently proposed. We are clear that our northernmost communities will be newly impacted by the expansion.

Heathrow must ensure that Stanwell Moor and Stanwell Village are properly compensated via the Wider Property Offer Zone. This is one of the requirements recommended by Overview and Scrutiny which I will shortly propose that Cabinet endorse.

There is however an alternative proposal on the table called Heathrow West, which could potentially have a lesser impact on the borough. It could also be built within a shorter time frame (reducing the impact on our communities). This scheme is at an earlier stage of development, but, as recommended by Overview and Scrutiny Committee, I agree should nevertheless be explored in more detail to see if it is a viable alternative.

Despite our issues with Heathrow's current expansion proposal, it does not automatically follow that there should be an in principle objection to the creation of a new northwest runway per se. In contrast to the recommendation from Overview and Scrutiny Committee, I suggest it is important to distinguish between the principle and the detail.

**Resolved that Cabinet:**

1. Can only re-affirm the Council's support for a third runway and appropriate and proportionate expansion, subject to the following:
  - a) We endorse the 16 requirements as recommended by the Overview and Scrutiny Committee (set out below);
  - b) We expressly reiterate our demands that our impacted communities be properly compensated via the Wider Property Offer Zone scheme; and
  - c) We seek to further explore the Heathrow West proposal and to ascertain if this is a viable proposition.

And

2. Agrees the covering letter in appendix 2 and the detailed responses as set out in the updated appendix 3 subject to further clarification of the technical details, as part of our consultation submission to Heathrow.

The 16 requirements recommended by Overview and Scrutiny Committee which Cabinet endorses are:

1. Third runway, with capped growth of 740,000 Air Traffic Movements (ATM's) per annum by 2040, with no early release of 25,000 ATMs pa before a third runway is operational
2. That the expansion should include Heathrow T5X and T2 only, with further consideration given to the Heathrow West scheme
3. That any increase in car parking must be at the Northern Parkway or along Bath Road only
4. There must be no Southern Parkway, no Truck Park, no HGV filling station or associated lorry movements to the Crooked Billet, and Heathrow need to move new and re-aligned roads further away from Stanwell Moor
5. Deliver a genuine 'world class' integrated compensation and mitigation package, including Wider Property Offer Zone for Stanwell Moor and part of Stanwell village
6. To provide enhanced multi-purpose community halls for Stanwell Moor and Stanwell village as a positive legacy for the communities
7. Commitment to deliver 1,500 new apprenticeships for local colleges within the borough (Brooklands College in Ashford)
8. Controlled Parking Zones for Stanwell Moor, Stanwell village, and Ashford north of A308 and other areas as deemed appropriate by the Council – to be in place by the time the third runway is operational and to be funded in full by Heathrow
9. Southern Light Rail (SLR) to be built before the third runway is operational, and for the Council to work positively with Heathrow to ensure that they deliver
10. No Construction sites at CS10 or CS11 operating 24/7 365 days a year north of Stanwell and Stanwell Moor



11. Deliver continuous improvement and enhanced mitigation to neutralise air quality impacts to below legal limits on local communities
12. Comply with the Committee on Climate Change Further Ambitions Scenario (in order to deliver a reduction to 30 million tonnes CO2 in 2050)
13. Deliver continuous improvement by actively and directly reducing noise levels for aircraft and the airport (using 2013 baseline)
14. Night flights to be banned for 8 hours overnight, except for emergencies (World Health Organisation guidelines)
15. Immigration Removal Centre (IRC) must be outside the borough and
16. Protect Staines Moor in perpetuity and ensure no changes to the River Colne upstream which might have an adverse impact on the biodiversity of the SSSI.

**Reason for decision**

As the borough which is probably most heavily impacted by the proposed expanded airport, it is critical that Cabinet makes sure that its views are fed into this formal consultation process (which is the last one before Heathrow submit their Development Consent Order). The Council needs to ensure it protects the quality of life of its residents, and makes Heathrow Airport Limited (HAL) fully aware of the Council's requirements.

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## **Minutes of Extraordinary Cabinet**

**11 September 2019**

### **Present:**

Councillor I.T.E. Harvey, Leader and Council Policy co-ordination  
Councillor A.C. Harman, Deputy Leader and Finance  
Councillor M.M. Attewell, Community Wellbeing and Housing  
Councillor R.O. Barratt, Environment and Compliance  
Councillor J.R. Boughtflower, Corporate Management  
Councillor O. Rybinski, Economic Development, Customer Service, Estates  
and Transport

**In attendance:** Councillor C.L. Bateson

### **2627 Disclosures of Interest**

There were none.

### **2628 Exempt Business**

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

### **2629 Exempt report - Investment acquisition W - Key decision**

Cabinet considered an exempt report on an opportunity to acquire a strategic asset with a steady income stream in the short term and the opportunity to generate greater income streams for the Council in the future.

The Asset Manager gave a presentation on the proposal setting out the rationale for acquisition, the costs involved, due diligence process and the business plan for the asset.

Alternative options considered and rejected by the Cabinet:

- Not to submit a bid for the asset.

### **Resolved to:**

1. Approve the acquisition of the investment asset identified in this report;
2. Formally agree the offer submitted, and authorise the Chief Executive to undertake any necessary subsequent negotiations (including a further bid if required) and complete the acquisition of the asset (in consultation with the Chief Finance Officer, the Leader and the Cabinet Member for Finance);

3. Authorise the Chief Finance Officer to decide (i) the most financially advantageous funding arrangements for the purchase, (ii) the most tax efficient method of holding the asset, and overall to ensure the acquisition is prudentially affordable;
4. Authorise the Head of Corporate Governance to enter into any legal documentation necessary to acquire the asset;
5. Agree to exempt Contract Standing Orders in respect of our advisors.

**Reasons for Decision**

1. It will bring in a steady income stream for the short term which will assist in the future ongoing financial stability of the Council.
2. The acquisition will provide a strategic asset for further potential housing development in the long term.
3. It will assist the council in driving regeneration of an area of the borough in the medium term and provide the opportunity for generation of greater income streams for the Council in the future.

**NOTE:-**

***This item was dealt with under urgency procedures and consequently the “call-in” procedures to Overview and Scrutiny Committee do not apply.***

Date of Meeting	ISSUE	Lead Officer	Objectives
10 September 2019	1. Minutes	Chairman	To agree the minutes of the previous meeting.
	2. Review of Community Safety	Jackie Taylor / Cllr Barratt	To review community safety matters for the period 2018/19. Representatives from Surrey Police will be invited to respond to questions.
	3. Presentation from SW Rail	David Wilby, SW Railway Regional Development Manager	To receive an update on SW Rail operations
	4. Project Management update	Sandy Muirhead/Cllr Boughtflower	To receive an update on the status of current Council projects.
	5. Work Programme/setting up task groups and Cabinet Forward Plan	Chairman / Terry Collier	To note the proposed work programme and consider issues of interest for the future work programme from the Forward Plan.

<b>Date of Meeting</b>	<b>ISSUE</b>	<b>Lead Officer</b>	<b>Objectives</b>
26 November 2019	1. Minutes	Chairman	To agree the minutes of the previous meeting.
	2. Budget Issues 2019/20 – 2020/21	Terry Collier / Cllr Harman	To consider the issues for the Budget 2019/20 to 2020/21.
	3. Governance of KGE and Housing Strategy	David Birley/Michael Graham/Cllrs Harvey and Attewell	To consider reports on the Knowle Green Estates Business Plan and the adoption of a new Housing Strategy and to make any recommendations to Cabinet.
	4. Capital Strategy update	Nick Cummings/Cllr Harvey	To receive an update report on the Council's Capital Strategy.
	5. Access to Healthcare in Spelthorne	Karen Sinclair/Deborah Ashman/ Cllr Attewell	To consider a report on proposed arrangements for access to primary healthcare.
	6. Capital Monitoring Report Q2	Laurence Woolven / Cllr Harman	To receive and note the current Capital spend position.
	7. Revenue Monitoring Report Q2	Laurence Woolven / Cllr Harman	To receive and note the current Revenue spend position.
	8. Work Programme and Cabinet Forward Plan	Chairman / Terry Collier	To note the proposed work programme and consider issues of interest for the future work programme from the Forward Plan.

Date of Meeting	ISSUE	Lead Officer	Objectives
21 January 2020	1. Minutes	Chairman	To agree the minutes of the previous meeting.
	2. Provision of Crematorium	Nick Cummings/Cllr Harvey	To consider the options for provision of a crematorium or other appropriate facility in the Borough.
	3. Review of complaints about, and enforcement activity at, HMOs	Esme Spinks/Tracey Willmott-French/ Cllrs Harvey & Barratt	To consider a review of the use of Article 4 Directions to manage conversions to Houses in Multiple Occupation and whether changes in legislation introduced in October 2018 have resulted in improvements to the management and safety standards in such properties.
	4. Treasury Management half-yearly report	Laurence Woolven / Cllr Harman	To note the Treasury Management situation.
	5. O&S Statutory Guidance	Terry Collier	To receive a report on the new O&S Guidance
	6. Project Management update	Sandy Muirhead/Cllr Boughtflower	To receive an update on the status of current Council projects.
	7. Work Programme and Cabinet Forward Plan	Chairman / Terry Collier	To note the proposed work programme and consider issues of interest for the future work programme from the Cabinet Forward Plan.

Date of Meeting	ISSUE	Lead Officer	Objectives
17 March 2020	1. Minutes	Chairman	To agree the minutes of the previous meeting.
	2. Capital and Revenue Monitoring Q3 and projected outturn	Laurence Woolven / Cllr Harman	To note the current Capital and Revenue spend to January 2020.
	3. Renewable energy	Jackie Taylor/Cllr Barratt	To consider options for introducing/expanding the use of renewable energy in the Borough.
	4. Pavement parking		To consider measures to deal with pavement parking in the Borough.
	5. Report from River Thames TG	Chairman	To receive a report from the Chairman of the River Thames Task Group on its work.
	6. Corporate Project Management	Sandy Muirhead/Cllr Boughtflower	To receive an update on the status of current Council projects.
	7. Work Programme and Cabinet Forward Plan	Chairman / Terry Collier	To note the proposed work programme and consider issues of interest for the future work programme from the Cabinet Forward Plan.

### Other topics for future inclusion in Work Programme

Surrey County Council cuts - How to facilitate shared ownership of the impact on the Borough and especially the impact on the voluntary sector

Fire Service operation post reduction in Stations – 2020/21

Ethical Investments



## **RECOMMENDATION FROM THE AUDIT COMMITTEE CORPORATE RISK MANAGEMENT**

**Cabinet: 25 September 2019**

### **Report of the Audit Committee**

- 1.1 The Council's Risk Management Policy/Strategy was approved by the Executive in 2002.
- 1.2 The Audit Committee is responsible for considering the effectiveness of the authority's risk management arrangements, and receives regular reports on risk issues.
- 1.3 The Audit Committee reviewed the revised Corporate Risk Register (attached as Appendix 1) at its meeting on 25 July 2019 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.

#### **Audit Committee Recommendation**

The Audit Committee recommends to the Cabinet:

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

**Contact: Punita Talwar, Internal Audit Manager**

**Cabinet member: Councillor Tony Harman**

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1			APPENDIX 1					<u>CORPORATE RISK REGISTER</u>			
2	This register summarises the Council's most significant risks which align to one or more Corporate Priority. It sets out controls in place and identifies any further action needed to mitigate risks . Act										
3	Actions are assigned to appropriate officers with target dates for implementation. The relevant Portfolio Holder for each risk category is also highlighted.										
4											
5	Level of risk: Likelihood vs. Impact on a scale of 1 (lowest) to 4 (highest)							Content reviewed July 2019 by the Internal Audit Manager			
6	March	July									
7	PREVIOUS RAG	CURRENT RAG	RISK / IMPACT (WITH REFERENCE TO CORPORATE PRIORITY)	LIKELIHOOD OF RISK	IMPACT OF RISK	LEVEL OF RISK (to evaluate)	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	TARGET DATE	PROGRESS /REASONS WHERE NOT IMPLEMENTED
8			1. If Health and Safety fails it could result in death or serious injury to staff /public and legal action against the Council, with associated reputational damage (CLEAN & SAFE ENVIRONMENT)	2	4	4	Approved Health and Safety Policy. Health and Safety Plan. Health and Safety at Work Regulations. SHE (Safety Health and Environment) system with dedicated training . Health, Safety and Insurance Risk Manager. Dedicated Health and Safety Officer in Neighbourhood Services. Managers have a legal requirement to conduct regular risk assessments. Staff Induction training. Annual reminders to complete/update health and safety risk assessments (DSE, Homeworking, and Service). Annual Health and Safety checklist, activity and compliance programme for Managers. Health and Safety Champions and meetings. Personal Safety Training and Lone Worker protection process. IOSH training provision and Champions encouraged to attend. Dedicated training available for First Aiders, Fire Wardens and Marshals. The robustness of inspections and site monitoring is periodically discussed at the Corporate Risk Management Group.	1i. There is scope to tighten up controls relating to training, procedures and the Management activity/compliance programme 1ii. The inspection process across the authority needs to made more robust - regular inspections/site monitoring to be carried out and consistently documented to ensure evidence is available. 1iii A project is due to be undertaken to enhance the efficiency of the SHE system (health and safety management). 1iv. The Corporate Risk Management Group will continue to provide an opportunity for Managers to raise any issues of concern regarding Health and Safety (NEW) 1v. Additional corporate health and safety resources for both SBC and KGE have been approved and are being taken forward (NEW)	HSIRM/ SEHM/ MAT/ All Group Heads * Cllr Boughtflower	31 October 2019 *R Requires Monitoring	1i. Partially Implemented & Progressing. Further documentation and development of Health and Safety Procedures is ongoing. 1ii.Partially Implemented & Progressing . The monthly Health and Safety Committee is now attended by most service areas, however, some services are regularly absent. Going forward an attendance register will be taken. Work has been undertaken to address the shortfalls in the inspection process with ongoing improvements in health and safety monitoring, however, further improvements are still required.The restructure of the parks team is nearing completion and greater control measures for supervision and inspection of this area are currently being developed. 1iii. Commenced. Changes have been made to SHE to make it more user friendly, additional measures are planned. A number of SHE user guidance notes have been written, available to all service areas. Additional guidance notes will be developed. Systems for health and safety monitoring, along with auditing and review are to be developed and implemented. Risk Assessments are being made more readily accessible.
			2. If there was a major Disaster in the borough, e.g. flooding, this may result in significant strain on council services (CLEAN & SAFE ENVIRONMENT)	2	4	4	Performance monitoring by Commissioning and Transformation. Emergency Planning support. Corporate Emergency Plan has been Updated and a public version placed on the Council's website.. Multi- agency flood plan reviewed January 2018. Membership of Local Resilience Forum (LRF). Regular testing of Emergency Assistance Centre plan. Borough Emergency Centre (BEC) Plans and staff training in 2017 & 2019. Staff feedback considered in updates to (BEC) plan and equipment. Incident management and Multi-Agency training. Prevent Strategy training and awareness (March 2017).	NONE	CX (DM)/ GH C & T* Cllr Harman	Completed/ Ongoing Monitoring	Applied Resilience have delivered a number of BECC (Borough Emergency Control Centre) training sessions for SBC staff during May and June 2019.
			3i. If performance at corporate and service level is not effectively managed then the authority could fail to deliver priorities, objectives and targets. 3ii. If there is failure to align service objectives to corporate priorities and objectives this could result in services not meeting residents /stakeholder needs. (ALL PRIORITIES)	2	3	3	Corporate Planning process incorporates a vision, priorities and targets. Monitoring by Members and Management Team. Service Planning and review process. Individual Service Plans should consider the Council's Corporate Priorities and statutory/other responsibilities (this is in the guidance). Service performance monitored by Management Team. Individual performance monitored through 1 to 1's and the appraisal process. Appraisal timetable. Priority Flagship project performance is reported regularly to Management Team and Members. Corporate Annual Report is reported to Cabinet.	3i. Quarterly reporting and monitoring of Service Plan implementation. 3ii. Improved alignment between Service Plans and the Corporate Plan as well as the budgetary cycle is planned . 3iii. A new Corporate Plan will be prepared. (NEW)	MAT / DCX LO/GH C & T /Group Heads & Managers * Cllr Boughtflower	i. 30 September 2019 * R Requires Monitoring ii. Early 2020 * R Requires monitoring	3i & 3ii Proposals for more frequent reporting and monitoring of progress in implementing service plans for 2019/20 have been communicated to Group Heads and Managers in February 2019, as have further planned developments to the service planning process. There are no further updates to communicate in this area . The Corporate Annual Report for 2018/19 has been prepared, to be reported to Cabinet in July 2019.
10											

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11			4. If there are inadequate project management arrangements (including lack of resources and relevant expertise or skills), then outcomes are unlikely to meet community/ service needs or projects fail to be delivered on time/ to budget. If projects do not incorporate sufficient governance standards, then this could result in poor decision making and unclear justification for actions, resulting in potential challenge (ALL PRIORITIES)	2	3	3	Project governance framework/methodology. Corporate Project Register updated as necessary. Corporate Project resource is in place but ownership for ensuring that project documentation is completed, resource implications assessed and necessary control processes are applied rests with Project Managers and Sponsors. Priority Flagship project performance is reported weekly to Management Team and includes asset acquisitions and development projects. On a quarterly basis a report goes to MAT, Cabinet Briefing and Overview and Scrutiny committee outlining progress made with projects and the work of the corporate project team.	4 i Management team to consider limited capacity and revenue implications prior to approving additional / new projects. (Ongoing) 4ii . Whilst the Council has a proportionate project governance framework, consistent and proportionate application of project governance arrangements are required to contribute to the likely success of projects whilst reducing potential risks of delays and overspend. Effective governance should incorporate the necessary structures and processes to support key decisions and approvals, promote the need for robust plans, monitor progress against pre-determined plans and milestones, and include regular effective reporting to Management Team and Members. 4iii. An internal audit review of Project Governance is currently underway.	MAT/GH C&T /Group Heads* Cllr Boughtflover	30 September 2019 * R Requires Monitoring	4i. <b>Ongoing.</b> Resourcing of projects remains an ongoing challenge as officers are often balancing several work tasks. Through the root and branch review of Services, the Commissioning and Transformation team will continue to identify projects and resources required but also improve processes and systems to assist the organisation's capacity and resilience. This also links in with risk categories 8 & 9 below. (There are no further developments to report) 4ii. <b>In Progress.</b> This issue and relevant improvement actions have been highlighted again as part of the recent internal audit review of Project Governance. (See point 4iii below) 4iii. <b>Completed &amp; Ongoing.</b> The internal audit review of Project Governance arrangements has been completed (May 2019) and Management are addressing the improvement actions/audit recommendations raised to enhance control processes/governance(links with point 4ii above) A revised document template has been circulated incorporating several control stages such as Project Initiation, key considerations, and a business case. This will be a requirement for every project and the Project Steering Group will have visibility.
12			5a. Information Governance risks relating to organisational measures. Non compliance with data protection legislation. Information could be processed inappropriately resulting in breaches of the DP legislation, Information Commissioner fines, reputational damage. and loss of public confidence. Potential to breach Freedom of Information (FOI) Act resulting in disclosure of personal data or commercial sensitive data, and ICO enforcement. (ALL PRIORITIES)	4	4	4	Mandatory data protection online training on a yearly basis. In house (more specific) training for staff continues as requested by services; supplemented by external training. Member training. Data Protection Officer (trained and experienced) provides ongoing guidance on the Data Protection Act (2018), and the Privacy and Electronic Communications Regulations. Information Governance structure agreed by MAT and made available on Spelnet; this identifies the Senior Information Risk Owner (SIRO) and lines of responsibility for Information Assets. Data protection compliance plan for services agreed by MAT+ and distributed to Group Heads and Managers to progress data protection compliance within service lines. Training of identified Information Asset Owners ongoing. An Internal Audit review of GDPR preparedness was undertaken in April 2018 and many improvement actions have been taken forward. FOI requests: FOI online training and guidelines, FOI process flowchart.	5i. Data Protection Officer to pursue plan to ensure information assets are identified and managed. 5ii. Raise awareness of Information Governance and the requirements of the DP legislation amongst staff and members. Train remaining Information Asset Owners. 5iii. Information flows to be mapped 5iv. Completion of information assets registers for all Information Assets. 5v. Group Heads to ensure that the Data protection compliance plan for services is followed to progress compliance within service lines. This plan includes identification of information assets and data mapping (relates also to 5i & 5iii above).	GH C & T */IGO * All Portfolio Holders	30 September 2019 * R Requires Monitoring	5i. <b>Implemented &amp; Ongoing</b> : The Data Protection Officer has produced a detailed work plan to work towards GDPR compliance. This has fed into the data protection compliance plan for services (issued Autumn 2018) - see 5v. 5ii. <b>Implemented &amp; Ongoing</b> : The level of data protection awareness in the Council continues to increase. The former temporary administrator helped move forward completion of many of the Information Asset Registers. Due to the volume of work short term resource is currently in place. A total of 78 staff members have been trained with a further 28 still to attend training delivered by the Data Protection Officer. 5iii. <b>In Progress</b> - Process flows are being mapped as part of the Route & Branch review being undertaken by the Projects team which will significantly assist with mapping data flow. See also response to 5v below. 5iv & v . In Progress- Deadlines in the data protection compliance plan for services have not been achieved in many areas.
13			5b Information Governance risks relating to technological measures. If security breaches occurred this may cause system failure, non compliance with various information legislation which might lead to Information Commissioner fines/enforcement and reputational damage, with loss of public confidence. (ALL PRIORITIES)	2	4	3	Data Back up and continuity arrangements managed by ICT and tested by Managers. ICT security policies and security alerts. Personal Commitment statement required from staff on appointment. ICT security group assess ongoing risks. Series of Security Awareness updates conducted in October 2017 for all staff and a representative from the Cyber Crime Unit raised specific awareness of Cyber crime in July 2018 (mandatory session). Desktop video training rolled out to all staff from June 2019. Information Governance Officer in post. Annual ICT Disaster Recovery test.	5b i. A Disaster Recovery test (ICT) is scheduled for September 2019 and any issues arising will require addressing. (NEW)	GH C & T*/DHICT * Cllr Boughtflover	30 September 2019 * O Requires Monitoring	5b. General - Video training has been rolled out to all staff to raise awareness around data security.

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14			6. Failure to meet the minimum security requirements of the Government's Public service Network resulting in termination of connection to any other government sites/data; unavailability of ICT systems impacts service provision; unauthorised creation & amendment of records for fraudulent purposes; inadequate measures to combat cyber security attacks or respond effectively resulting in reputational damage and financial losses <b>(ALL PRIORITIES)</b>	2	3	3	National Cyber Security Strategy. A review group assesses compliance with security requirements - Public Service Network (PSN). Successful certification of the Public Service Network (PSN) compliance. Self-assessment for PCI (Card Industry Data Security Standard) submitted in February 2019 and are compliant. Security measures include firewalls, encryption, egress, black-listing of memory stick,CD's and DVD'S, and universal serial bus (USB) ports locked down. Dual factor authentication on all laptops. All Baseline Personnel Security Standard checks completed. Annual health check and security penetration test. Mimecast e-mail filtering software in place. Disaster Recovery plan for ICT developed alongside Applied Resilience. ICT Strategy being developed to support the core objectives of the Council. Network refresh undertaken. System Administrators are currently assigned for each key application system, with privileged access rights to undertake relevant duties. Independent review of the ICT function/resources undertaken in 2018. Telephony review underway considering remote devices.	6i.As System Administrators also have operational and processing roles within the associated service area, this lack of segregation of duties (between operations and administration) increases associated risks of fraud or error. This is a longstanding issue which requires periodical review by Management Team. 6ii. An ICT Audit Needs Assessment is currently underway to highlight risks for further consideration in the audit planning process. 6iii. Following the recent annual health check and ICT Security penetration test any risks highlighted are being addressed. (NEW)	DHICT *Cllr Boughtflower	6i & 6ii Completed/ Ongoing Monitoring 6iii (NEW) 30 September 2019 R * Requires Monitoring	6i. <b>Ongoing Monitoring</b> - Given that the risks to achieving full segregation of duties in this area prevail Internal Audit have continued to highlight the importance of applying compensating controls within service areas. Independent management review of system generated exception reports has been promoted as well as other controls. 6ii. <b>Completed</b> - The ICT Audit Needs Assessment has been completed (April 2019) in collaboration with Management and a planned programme of ICT audit work for the next three years has been agreed, focussing on areas of highest risk .
15	Page 29		7. Ineffective business continuity planning to cover loss of building, equipment, ICT or staff could lead to loss of service or disruption in a real scenario <b>(CLEAN &amp; SAFE ENVIRONMENT)</b>	2	3	3	New contract in place from September 2018 for ongoing provision of Business Continuity Planning support . Performance monitoring by Commissioning and Transformation. Business Continuity (BC) Policy . Corporate Business Continuity Plan and Service Level plans with periodical review. The BC Forum oversees progress of BC planning. Business Impact Assessments . Service level business continuity plans are being reviewed and updated Emergency protocols for loss of building access/loss of power/loss of ICT are being developed. Emergency messaging system for staff. Telephony resilience. Key responders - Incident Management Team and recovery team. Security policy updated and Applied Resilience have a text messaging system which will alert staff and instruct on whether to leave or stay where they are.	7i. Management Team are keen to undertake a fire evacuation procedure combined with a scenario where re-entering the building is not possible.	GH C & T*	30 September 2019 R * Requires monitoring	7i. <b>Outstanding</b> . Previously advised that Applied Resilience are organising an exercise for late Spring 2019. At July 2019 no further developments have been reported in this area.
16			8. If there is over reliance on individual officers then in the event of absence or departure this may cause a gap in technical/systems knowledge and expertise, with subsequent failings in delivery of functions/ services <b>(ALL PRIORITIES)</b>	3	3	3	Business continuity arrangements to cover loss of key staff. Critical procedures should be documented and staff appropriately trained. Any weaknesses in resilience arrangements should be highlighted in the service planning process. In some larger service areas greater resilience is being built into teams with some individuals taking on a variety of roles. (An example of this is the Project Officer/Committee Manager within the Commissioning and Transformation team)	8i. Management Team to keep resilience arrangements under review. 8ii. Root and Branch service reviews are underway giving consideration to resilience, resourcing and capacity.	MAT/ Group Heads/ GH C & T * All Portfolio Holders	30 December 2019 R * Requires monitoring	8i. <b>Ongoing Monitoring</b> . Resilience is one of the issues being considered as part of the root and branch service reviews. 8ii. <b>In progress</b> - Developments on Root and Branch reviews including efficiencies identified are communicated at corporate staff meetings and via Spelnet.
17			9. If increased service demands coincide with a lack of staff resources/capacity to deliver then this may result in reduced morale, high staff stress levels with possible impact on staff mental and physical wellbeing, delays and errors, increased sickness and turnover , with subsequent failings in delivery of services <b>(ALL PRIORITIES)</b>	2	3	3	Short term reductions in capacity are accommodated by prioritisation and reallocating work . Longer term impacts and changes to demand may be more difficult to address. Employment arrangements and staff support mechanisms. Market supplements/allowances to assist with recruitment and retention. Training and development. Performance management systems, (appraisals, one to one's). Regular staff meetings. Stress audits (risk assessments) can be arranged if necessary. Human Resources reporting to MAT. Significant investment was built into the 2017-18, 2018-19 & 2019-20 budget to address resourcing for some service areas (such as HR, Legal, Independent Living, Environmental Health). Strategic Management Team have committed to supporting mental health wellbeing and training to raise awareness of mental health has been delivered for a number of Managers in June 2019.	9i. Management Team will need to keep resourcing levels under review, particularly the impact of new projects and any statutory obligations on service/project delivery. (Ongoing monitoring action) 9ii See action at 8ii above relating to Root and Branch reviews.	MAT *Cllr Boughtflower	30 December 2019 R * Requires monitoring	9i. <b>Completed/Ongoing Monitoring</b> . Additional staffing resource approved for some Service areas in 2019/20.Since March 2016 73.19 posts have been added to the Council's establishment list and so there has been increased resources, even after allowing for the transfer of the grounds maintenance operation back in-house. This has helped improve resilience and Spelthorne have been able to do so as a result of additional commercial asset income. 9ii. <b>In Progress</b> - Root and branch review of services is underway in order to identify efficiencies and capacity issues which can be resolved to improve organisational performance and resilience. Some quick wins have been achieved.



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18			10. If there are prolonged staff vacancies due to inability to recruit, then this may result in a failure in service delivery (ALL PRIORITIES)	3	4	4	Market supplements awarded to certain roles when recruiting. Annual review of recruitment and retention allowances. review/enhancements in some services. Posts advertised with Surrey Jobs as well as a wider network of job sites. Specialist websites are also used to advertise posts where necessary. Annual report summarising staff recruitment and turnover. National apprenticeship scheme. Levy to be focussed on upskilling internal employees as well as some recruitment of new apprenticeships. Local arrangements in place for deciding pay awards and moved to local terms and conditions of employment	10i. Human Resources to monitor the effectiveness of measures taken to improve recruitment and retention across the authority , in collaboration with Services. 10ii. Any future review of the recruitment and retention strategy should consider the feasibility of a staff referral scheme.	MAT/Group Heads/ /GH C & T/HRM * Cllr Boughtflower	30 September 2019 R * Requires monitoring	10i. <b>Completed/Ongoing Monitoring</b> . There are many external factors which have an ongoing impact on recruitment and retention. Group Head Commissioning and Transformation presented a briefing note prepared by the Human Resources Manager to the March 2019 Audit Committee setting out the effectiveness of measures being taken in this area. 10ii. At July 2019 - no updates have been received in this area.
			11a. Procurement - If governance arrangements are weak with a lack of transparency, this could result in any of the following: financial penalties for non-compliance with legislative requirements; contractual disputes and claims through poor specifications; contractors/partners failing to deliver expected outcomes; reputational damage, challenge and poor VFM. (This section links also with section 4 above - Project Management) (ALL PRIORITIES)	3	3	3	Contract Standing Orders (April 2016). Contract guidelines with compliance checklist (to be updated). Requirement for declaration of interests (Officers and Members). Corporate Procurement training provided in May 2019. E-procurement system in place and contracts sourced with this solution. Revised Procurement strategy and vision (February 2019) An initial indicative spend analysis exercise undertaken during 2019. Developing improved reporting systems. Interim Procurement Manager in post to establish revised procurement processes. Enhanced monitoring for key suppliers now added to the S&P Watch list to enable concerns to be picked up pro-actively	11i. Full compliance with the Local Government Transparency Code is required and should be confirmed once achieved. 11ii. To ensure there is an ongoing reference for officers involved in procurement activity, Procurement and Contract Management guidelines need to be updated and publicised to reflect regulatory changes of 2015. 11iii. Implement a programme of training for contract managers where the principles of Contract Standing Orders and Contract Check list form the core element of the learning. 11iv. The future of the Procurement Board to be considered as part of a review of all boards across the authority. 11v. Revised Procurement processes are being established . 11vi Recommendations arising from the recent Internal Audit review (NEW)	MAT /HOCG *Cllr Boughtflower	30 September 2019 R * Requires monitoring	<b>At July 2019</b> - no updates have been received from the accountable officer. The Internal Audit Manager has updated this section to the best of her knowledge. 11i & ii <b>Outstanding</b> 11iii. <b>In Progress</b> -Training has taken place (May 2019) attended by a number of Service representatives. The external trainer highlighted regulatory requirements (PCR 2015) for further consideration. A further session to outline local processes including Spelthorne's Contract Standing Orders seems appropriate to promote awareness and understanding of expectations. 11iv. <b>Completed</b> - A Procurement Projects group has been set up instead of a formal board, meeting monthly. This coincided with production of a monthly PPG Report to regularly advise stakeholders on the status of a range of procurements. 11v. <b>In Progress</b> - The interim Procurement Manager is leading on establishing and implementing revised Procurement processes. Linkages between project governance and procurement continue to be integrated into processes to ensure alignment. Head of CG attended Audit Committee in March to provide an update on proposed changes/ actions.
20			11b. Major Procurement - A lack of ongoing forward planning in preparation for the expiry of existing Leisure Centre arrangements in 2021 may result in delays in delivery of key project milestones and provision of leisure facilities to the community. If the project is not effectively managed, this could result in overspends, delays and significant ongoing strain on the Council's financial resources. (This section links also with section 4 above - Project Management)	3	3	3	Current Leisure centre operator contract ends 2021. "Leisure Centre Needs Analysis" submitted to MAT in 2014 and updated in 2017, which endorsed the recommendation to carry out a feasibility study. A high level discussion document was presented to Cabinet in October 2016 and a project team formed. Project Sponsors and Project Managers identified. Project related documentation. Risk Register. Councillors and staff kept informed of key progress milestones, requirements and timeframes . Feasibility study completed March 2018 by specialist Advisors, design brief signed off and public consultation undertaken in summer 2018 .	11b. Assessment of possible sites for the new leisure centre is under consideration with further proposals for consultation to be issued in due course .	Dcex (LO)/ Group Head CW* Cllr Attewell	30 September 2019 R * Requires monitoring	11b. <b>March 2019 - In Progress</b> - The report to Overview and Scrutiny in January 2019 states that a timetable for the next phase of consultation on the Council's plans for a new Spelthorne Leisure Centre will be decided once the review of alternative locations for the facility have been completed and options identified. The team are continuing to assess alternative sites and are intending to peer review those to obtain an independent view, prior to any public consultation. <b>At July 2019</b> - no updates have been received from the accountable officer in this area.

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21			12. External factors including national housing shortage , insufficient affordable properties, London Boroughs increased use of Spelthorne properties and welfare reforms such as Universal Credit may all impact on the effective delivery of Spelthorne's Housing Service to the community. Ongoing uncertainty over recovery of outstanding Housing Benefit debt.  (HOUSING )	3	3	3	Group Heads/ MAT/Members are aware of ongoing risks in this area. Local Plan Policy currently being reviewed. Housing and Homelessness Strategies. Universal Credit rollout/migration is under consideration. Housing Benefit regulations (DWP) stipulate limitations around overpayment debt recovery. Current debt stands at approx. £3m. Internal Audit review of Housing Benefit Overpayments completed March 2019 and recommendations implemented by management (see risk category 19). Discretionary housing payments Corporate Debt Group and Strategic Housing Group monitor progress. Officers and A2D continue to work with families affected by the benefit cap. Close working with private landlords. Landlord guarantee scheme. Knowle Green Estates Ltd (subsidiary) focusing on the Housing Delivery Programme to meet Housing targets - a review/audit of the governance arrangements of Knowle Green Estates is due to take place . Council was assessed by the Ministry for Housing, Communities and Local Government as being well prepared for the implementation of the 2018 Homelessness Reduction Act, which was reported to Overview and Scrutiny in January 2019.	12i. Management Team to continue to monitor the ongoing pressures facing the Housing Service (eg impact of SCC cuts) 12ii.As part of the 'duty to refer' requirement of the 2018 Homelessness Reduction Act statutory responsibility for making referrals into the local housing authority rests with the public body or agency. Housing are continuing to work proactively with all public bodies to promote awareness and encourage referrals into Spelthorne, ensuring pathways are clearly communicated. This will ensure that any wider risk implications in terms of homelessness levels for Spelthorne are minimised through early intervention(NEW) 12iii. Review of Housing and Homelessness strategies to include stakeholder involvement and participation. (NEW)	MAT / Joint Group Heads CW * Cllr Attewell	Completed/ Ongoing Monitoring	12i. Ongoing. 12ii. This new action is included for monitoring purposes. Overview and Scrutiny at its January 2019 meeting received a positive report on the successful implementation of the Homeless Reduction Act. Likewise the recent internal audit review relating to 'embedding of processes arising from the 2018 Homelessness Reduction Act' provides effective assurance of this area.
22			13a. Uncertainty over economic growth and supplier failure could impact on: • Delivery of contracts and services • Business Rate income collected/retained , thereby affecting the Council's overall finances. (ECONOMIC DEVELOPMENT & FINANCIAL SUSTAINABILITY)	2	3	3	Financial Services monitor the financial media in relation to larger companies and critical commercial partners. Enhanced Monitoring arrangements implemented as key suppliers now added to the S&P Watch list . Aim to maximise Business Rate collection/minimise losses for the Council. Additional quarterly monitoring of collection and projected outturn retention implemented . Additional counter fraud resource is available to identify and investigate potential tax avoidance and evasion cases, which can be translated into cashable savings for the authority. (Being pursued under Corporate Counter Fraud work).	13i. Impact of Business Rate arrangements on Council finances is under ongoing review. 13ii. Spelthorne are participating in the 100% retention of business rates pilot for 2018/19 providing further incentive to maximise income collection	DCX (TC)/ Deputy Group Head CR * Cllr Harman	Completed/ Ongoing Monitoring	13i. Implemented and ongoing. 13ii. Implemented and ongoing. Exceeded target for 2018-19 "100%" Business rates retention pilot. Business rates collection rate for 2018-19 stands at 99.7%, representing the best ever. Counter fraud measures are being considered for small business rate relief cases in collaboration with the Surrey Counter Fraud Board (see risk category 20).

	A	B	C	D	E	F	G	H	I	J	K
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			13b. If the Economic Development Strategy fails to be implemented, this could impact on growth (ECONOMIC DEVELOPMENT)	2	3	3	Regular reporting to Members. A 5 year economic assessment & development strategy for 2017 - 2022 ( previous audit recommendations were taken into account). Economic Development Strategy is reviewed every twelve months. Annual review and refreshing of the strategy, enabling targets that have been achieved to be commented upon and removed; new targets that have emerged over the previous twelve months are then included. Prioritisation of projects to benefit from the business rates retention has been completed.	13bi. Economic development is a Council priority and growth will impact on business rate income - this is under ongoing review. 13bii. Regarding governance, through the EDEG 5 areas have been identified as the most important areas of delivery within the strategy and will be reported on every 6 months to the group to strengthen performance monitoring. The refreshed strategy needs to be approved by the EDEG.	DCX (TC) */GH R & G*/ EDM* Cllr Barnard	Completed/ Ongoing Monitoring	13bi & ii. <b>Implemented and ongoing review.</b> At July 2019 - there are no further updates to report for this area.
23											
			14. If there was failure to comply with statutory duty / adhere to Safeguarding Policy, (including failure by County to address Spelthorne referrals), this could lead to death or injury to a child or vulnerable adult, resulting in legal action and reputational damage. (CLEAN & SAFE ENVIRONMENT)	2	4	4	Council has statutory responsibility for safeguarding children and Adults. Approved and publicised Safeguarding policies and procedures. Staff and Member training. All referrals to Surrey County Council should be reported to a nominated Spelthorne Officer. Regular liaison with Surrey County Council and the Surrey Safeguarding Children's Board (SSCB). Annual Section 11 audit (a review of training records was also undertaken in 2018). Liaison with Human Resources for training purposes and DBS checks. Online safeguarding training module and cascade training. Procedure to deal with the Multi Agency Safeguarding Hub (MASH) enquiries. Spelthorne is represented on the new Early Help Advisory Board by the Deputy Chief Executive. A restructure of Surrey County Council Children's services is currently being undertaken. This will mean that the procedure for referrals to MASH/Early Help will change.	14i. Officers are currently undertaking the statutory children's Safeguarding audit which is completed annually. Any recommendations arising are to be considered. 14ii. Monitoring of any likely changes to the safeguarding referral process and subsequent implementation	DCX (TC)/LSM/ LM/Joint Group Heads - CW * Cllr Attewell	30 September 2019 R * Requires monitoring	14. <b>In Progress</b> - Results of the children's audit have been received and there are some recommendations to address. The Surrey Borough and District group have asked the children's safeguarding team to attend their meeting to discuss the audit recommendations for all the Boroughs and Districts as some themes are similar. Awaiting feedback following submission of an adult safeguarding audit . 14ii. <b>Implemented/Ongoing</b> - With the transformation taking place at Surrey County Council it has been more challenging to maintain key relationships and to understand changing processes. An internal officer group has been set up which meets monthly to coordinate responding to safeguarding and early help issues. Surrey have slightly changed their referral 'front door' and this has been communicated to staff. Further adult safeguarding training has taken place. A safeguarding briefing now takes place at each staff induction and a presentation for new Cllrs took place.



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25			15. In light of ongoing reduction in Central Government funding, if opportunities for significant income generation and investments are missed, then this will impact on the Council's ability to close the budget gap and deliver vital services. If weak governance arrangements prevail, this may contribute to poor investment outcomes and increase exposure to financial risk including loss of anticipated rental income and poor investment returns. <b>(FINANCIAL SUSTAINABILITY)</b>	3	4	4	Long term strategic/financial plan. Corporate Plan / priorities reviewed. Member engagement. The Council is applying innovative ways to fund services and create new revenue streams through significant commercial asset acquisitions and investments. Since September 2016 an additional ongoing annual net income of £9.5m has been generated from commercial asset acquisitions. This enabled a balance budget to be set for 2018-19 and to make revenue contributions towards capital to put capital programme financing on a more sustainable basis. Investment Asset Strategic Parameters approved by Council in December 2017. Advice is sought from the Treasury Management advisors as appropriate. Thorough due diligence undertaken with respect to leases and acquisitions and with respect to evaluating strength of covenant of tenants- now using S&P to evaluate. A second set of advisers used to independently assess the robustness and appropriateness of modelling assumptions for acquisitions. A robust governance framework has been developed and continues to support property acquisitions and investment processes, to include 1. Asset Governance framework and action plan; 2. Property Investment Strategy; 3.DIG meet weekly to track project progress plus a Councillor led Investment and Development Committee; 4. Revised regulatory investment guidance (Feb 18) requires LA'S to develop quantitative indicators to assess a local authority's total risk exposure as a result of its investment decisions, with reporting on Prudential indicators; 5. Presentation by the Portfolio Holder for Finance and DCX (TC) to O & S on the council's approach to management of risk; 6. Robust Treasury Management Strategy; 7. Weekly update to MAT on status of Priority Flagship projects(incl. commercial asset acquisitions). <b>Further control measures for this risk category are recorded below.</b>	15i. A robust governance framework continues to be developed to support property acquisitions and investment processes. 15ii. Robust and effective systems need to be in place to record and recover significant rental income due to SBC from it's increased property portfolio.	MAT/GH R & G* Cllr Harman	31 December 2019 R * Requires monitoring	<b>15i. Implemented/ Ongoing</b> . Performance is monitored regularly at Development and Investment Group (DIG) and a quarterly performance report is produced for the Investment Portfolio. DIG comprises of senior officers from across the Council and meets weekly to undertake a review of performance of acquisition, progress of developments, and evaluation of possible acquisitions. Monthly meetings of Investment and Property Committee (IPC), on which Leader and Finance Portfolio Holder sit, review and discuss performance of investments, developments and consider/ evaluate possible acquisitions and whether to put forward to Cabinet for consideration. Planned reporting of prudential indicators has taken place and went to the Development and Investment Group (DIG), with formalised reporting to take effect once the new Property Management System is operational. Council approved at its February meeting the Capital Strategy. The new draft Strategy was scrutinised by Overview and Scrutiny as a draft before going to Council for approval. The first internal officer quarterly review of the Capital Strategy has been undertaken, and updated to reflect the fact that a number of new development proposals are coming forward. The next review will consider further development of performance indicators <b>15ii. Progress underway-</b> Work is underway to deliver a new Property Management System to effectively manage Spelthorne's property portfolio (investment, community, commercial and residential properties).Tenders for the Property Management System have been evaluated and a decision on the supplier was made in April 2019 (report to Cabinet 27 March). The initial 'go live' implementation is anticipated in December 2019.The Council uses expert external advisors (where required) for its investment portfolio to manage matters such as service charges. DIG receives timely updates on rental income collected on the Council's commercial investment assets. The Deputy Chief Executive (TC ) has advised of 100% of commercial assets rent due having been received within 2 weeks of q date for quarter 4.
26											
27			Risk Category 15 (See above)				<b>Further control measures relating to risk category 15 (Property Acquisitions)</b> Monitoring arrangements relating to property development work arising from asset acquisitions - The Group Head for Regeneration and Growth prepared a briefing note for Audit Committee in November 2018 on monitoring arrangements, for example quality control measures undertaken by professionals. Due Diligence measures for tenant management - The Council has brought in additional advisers to provide a second opinion on lead advisers advice, and to produce reports on the financial robustness of tenants in potential and acquired acquisitions. The Council has subscribed to Standard &Poor's credit rating database and set up watch lists for its tenants to alert it to any deterioration in the health of its tenants. Where there is any deterioration the potential impact of this is reviewed by the internal team. Sensitivity analysis is undertaken with respect to variables such as rental growth.	Risk Category 15 (See above)			Risk Category 15 (See above)

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			16. If there is reduced service capacity then this may result in greater instances of error, loss, fraud, theft , irregularity, all representing a loss of internal control and weakened control environment. (ALL PRIORITIES )	3	3	3	Management as the first line of defence in the overall assurance framework are responsible for maintaining key services and internal controls. Reduced resource levels in some areas are likely to impact on the ability to operate an adequate level of controls. For example segregation of duties is not always possible and there may be fewer independent/management checks. In such cases compensating controls are required which is promoted by Internal Audit where deemed appropriate. In some areas additional resources have been provided. Adequate staff contingency arrangements need to be built into core processes. Key governance roles have also now been in place for some time in areas such as Procurement and Information Governance.	16i. A recurring theme across some service areas is resourcing constraints often combined with weak resilience arrangements. These are often highlighted as reasons for controls and governance processes being compromised within functions/corporate systems and processes. Associated with this is a lower level of assurance and therefore MAT need to keep this area under review.	Group Heads/ MAT/DCX (TC) All Portfolio Holders	Completed/ Ongoing Monitoring	16. i. <b>Completed/Ongoing Monitoring</b> - Additional growth to provide additional resources in HR, Accountancy, Legal and Property was built into the 2018-19 budget and various appointments have since been made. Further growth approved and built into the 2019- 20 Budget for ICT, HR, Environmental Health and Assets. A review of the Accountancy structure is also planned to take place shortly which may help further to assess staff contingency arrangements/requirements. Resilience is being considered as part of all root and branch service reviews, referred to under risk category 8 above.
28											
			17. In light of the changing political landscape & Brexit, this represents many potential uncertainties of a recruitment, financial, regulatory and supply chain management nature arising from currency devaluation/volatility, trade, investments, relocation of Partners/Suppliers, changing access to EU funds, level of compliance with EU regulations , workers rights (EU Nationals). These could all impact on existing policies, procedures, and processes. ALL PRIORITIES	3	3	3	The Group Head for Commissioning and Transformation is the Corporate lead for Brexit. Summary briefing note issued to MAT/Cabinet/Audit Committee in August 2018 on possible implications of a Brexit "no deal" on the Council .This note highlighted the potential indirect impact in terms of skills shortages with implications for increased costs and timings, particularly in the construction and social care sectors. Further briefing note presented to Audit Committee in March 2019. Brexit Continuity Planning continues to takes place.	17i. MAT to regularly consider potential Brexit uncertainties for Spelthorne and have a plan in place to address. 17ii. Group Head Transformation & Commissioning is participating in regular Countywide Brexit Continuity Planning meetings and briefing MAT, Group Heads and Members . (REVISED)	MAT/ Group Heads All Portfolio Holders	30 September 2019 R * Requires monitoring	17i. Progress underway - MAT and Group Heads are briefed regularly regarding developments. 17ii. Progress underway - There is of course continued uncertainty associated with scenario planning for Brexit. The Group Head for Commissioning and Transformation considers that overall Spelthorne are aware of the risks and trying where possible to address these. A weekly report on preparedness for Brexit is issued to the Local resilience Forum which feeds through to Central Government. Also attending weekly tactical and fortnightly strategic teleconferences with the Local Resilience Forum to ensure contingencies where appropriate in place. Services are updating on any information/impacts relevant to their service via weekly reports back to the LRF and onto central Government. Services are noting potential implications including staffing, environmental health and data protection. Group Head for Commissioning and Transformation prepared a summary briefing for MAT/Cabinet/Audit Committee in March 19 on possible implications of a Brexit "no deal" on the Council. Currently awaiting further instructions on next stages once new Prime minister in post
29											
			18. If the Council receives a poor return on long term investments and/or investments become insecure in the current climate, then this will have an adverse impact on the Council's financial position. (FINANCIAL SUSTAINABILITY)	2	3	3	Treasury Management Strategy approved annually by Members. Reporting of Treasury Management performance to Members. Aim to select counter parties of the highest credit quality; credit ratings monitored closely and apply criteria recommended by Arlingclose. Council's investments managed internally in consultation with Arlingclose. Roles and responsibilities assigned within Accountancy. Deputy Chief Executive and Portfolio Holder are involved in key decisions. Regular monitoring ,reporting of investment portfolio and returns achieved. CIPFA Code of Practice and Prudential Code being applied with new recommended indicators for measuring investment performance.	18. The team are addressing the recommendations arising from the recent internal audit review of the Treasury Management function (NEW)	DCX (TC) * Cllr Harman	30 September 2019 * R Requires Monitoring	18. <b>Completed/Ongoing review.</b> The team continues to explore options for diversifying the portfolio. Approved Capital Strategy (see risk category 15). The Council exceeded Treasury Management target income for 2018/19 and achieved average rate of interest on medium term pooled funds of 4.23%
30											

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31			19. If there is a failure to collect/recover income due, this will result in financial losses to the authority. Where there is poor system integrity due to increased risk of error, duplication of data, irreconcilable systems and inefficient processes, this could lead to a significant level of aged debt and financial losses. <b>(FINANCIAL SUSTAINABILITY)</b>	3	3	3	Corporate Debt Group monitor the more material items on the aged debt analysis and also coordinate action to tackle debt that is unlikely to be recovered, reviewing progress made by lead Officers. Monitoring developments in recovering CIL focuses on larger sums due. Some good results have been achieved in enforcing collection and monitoring CIL debts. The Chief Finance Officer reviews a monthly status report of higher value aged debts over 6 months old for reasonableness. Analysis undertaken by Customer Services to identify and address historic debts which are not cost effective to pursue or with low probability of recovery, and therefore require write off. A progress review of relevant audit recommendations is discussed at each Corporate Debt Group meeting. Recovery policies recently reviewed (Corporate Debt and HBO). Debt collection statistics produced and analysed. Budget Monitoring identifies any anticipated shortfall in income. Accountancy report to Management Team and Members on significant variances and comparisons with previous year. Housing Benefit regulations (DWP) stipulate limitations around overpayment debt recovery. Current debt stands at approx. £3m. Internal Audit review of HBO (March 2019)recommendations implemented.	19i. The corporate debt recovery policy is being reviewed 19ii. In order to improve efficiency, there is scope for Customer Services to take greater control over the persual of all sundry debts at every stage. (REVISED) 19iii. Further to the recent audit review of Housing Benefit Overpayments, increased reporting (management information and breakdowns) will help to enhance visibility in terms of debt monitoring of this complex area. This will be pursued in collaboration with the Corporate Debt Group. 19v. Development of systems to assist in monitoring of Bed and Breakfast debt in terms of enhancing efficiency and avoiding duplication is ongoing.	MAT/ DCX, TC/AGH CR/ Group Heads <b>Cllr Harman</b>	30 September 2019 * R Requires Monitoring	19i. <b>Completed</b> - The Debt Recovery Policy has been updated and revised draft circulated to relevant colleagues for comment, before going to MAT for approval. 19ii. <b>Progress underway</b> - This point has been reiterated in the recent internal audit review of sundry debtors with regards action beyond the stage three invoice reminder. If Customer Services are to take a greater lead role in the persual of all sundry debts including decisions where appropriate and firming up expected response timelines from Services, this needs to be reflected in the revised corporate debt policy to ensure clarity (see action 19i). 19 (iii) <b>Implemented/Ongoing</b> - The Housing Benefits Manager now issues Housing Benefit Overpayment debt breakdown reports to the Corporate Debt Group. 19 (v) <b>In Progress</b> - Project set up to address and move forward the operational issues but resourcing, skillset and possibly ownership remains an issue. Weekly payments cycle for Housing Benefits has been agreed with the Council's External Auditors, BDO and is being applied to address timing differences. A planned internal audit review is underway.
32			20. Environmental breakdown represents a significant global threat driving social and economic disruption with far ranging consequences for socioeconomic stability ; climate change and extreme weather events such as flood and extreme heat impact on food systems, supply chains and procurement, economic productivity and losses. <b>(CLEAN AND SAFE ENVIRONMENT)</b>	3	4	4	Consideration of Government targets for reducing carbon emissions/greenhouse gases to tackle climate change. Whilst there are no specific targets set on local councils, Officers are working in the spirit of ethical and social responsibility to address climate change concerns, reviewing the Council's carbon footprint and thereby contributing to the overall government targets. Sustainability Strategy Energy & Water Efficiency policy (2015 - 2020) Corporate Emergency Plan. Consideration as part of project implementation as follows : New developments - renewable generation Fuel Poverty - promote energy efficiency measures, Increased renewables capacity with solar PV installations on 2 DayCentres EV and further plans to do so on other sites charging provision at some car parks.	20i. As this is a new risk category, any relevant actions for inclusion will be discussed at the Corporate Risk Management Group.	MAT/ GH - NS SO - MR	30 September 2019 * R Requires Monitoring	This is a new risk category for inclusion on the Council's Corporate Risk Register. A report from the Institute for Public Policy Research (IPPR) has concluded that global greenhouse gas emissions must be reduced by 45% from 2010 levels by 2030 to avoid catastrophic warming.
33			21. If there is an increased risk of fraud / theft arising from a weak control environment this will result in financial losses and reputational damage. Housing tenancy fraud reduces availability of social housing impacting on the Housing register. Business Rates Avoidance and Evasion results in loss of income. <b>(FINANCIAL SUSTAINABILITY &amp; HOUSING)</b>	3	3	3	Various corporate Policies including Confidential Reporting Code (Whistle blowing), Anti-fraud, Bribery and Corruption Strategy, Proceeds of Crime and Anti-Money Laundering, Code of Conduct, Financial Regulations and Contract Standing Orders. Fundamental controls to be embedded to enable prompt identification and investigation of discrepancies, errors and potential theft or fraud. (Management oversight, segregation of duties, financial reconciliation processes, authorisation limits and IT Security measures). Specialist Fraud groups with Surrey Partners enable sharing of skills, knowledge and approaches. Fraud alerts circulated. Enhanced verification checks for new housing claims. Non-benefit fraud returns are collated quarterly, focusing on housing, council tax support, and business rates (evasion and avoidance). These are reported to the Surrey Counter Fraud Board. Collaborative working with Reigate and Banstead's Counter Fraud team has continued to produce positive outcomes and impressive financial returns/payback. Wider benefits are also being realised from this counter fraud work and a further growth bid has been secured (February 2019) for these counter fraud measures to continue. Overview & Scrutiny Committee report of 2018(tax evasion/avoidance)	21i. To arrange refresher Counter Fraud, anti-bribery and corruption training for all staff and Members. 21ii. To undertake a risk assessment for money laundering to ensure compliance with regulations.	Group Heads/ MAT/IAM/ Head of CG <b>Cllr Harman &amp; Cllr Attewell</b>	30 September 2019 * R Requires Monitoring	At 31.3.19 the cumulative fraud return for Spelthorne (since the start of the Surrey Fraud Partnership in January 2015) equates to just under £2.5m in terms of notional savings to the public purse, with estimated cashable savings for Spelthorne of £482k. This figure incorporates positive fraud outcomes for Corporate Fraud (non-benefit fraud) and includes Housing, Business Rates and Council Tax. Further counter fraud measures are being explored in partnership with the Surrey Counter Fraud Board which will provide continued benefits for all partner authorities. 21i. <b>Progress underway.</b> The Internal Audit Manager has outlined requirements for inclusion in Counter Fraud, anti-bribery and corruption refresher training for staff and Members. Discussions are being held with the suitably identified trainer to take this further forward, with a view to scheduling mandatory training sessions for Autumn 2019. 21ii. <b>At July 2019 - No further updates have been received from the accountable officer for this area.</b>
34						<b>*KEY TO RAG RATING</b>					
35			Actions Overdue & Outstanding			Partially Actioned			Completed/Ongoing Monitoring		

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36			Note that previous RAG ratings are included to illustrate the Direction of Travel for recommended actions								
38			*KEY TO TARGET DATES			* N = New Action		*R = Revised target date for assigned action		*O = Original target date for assigned action	
39			*KEY TO OFFICERS								
40			MAT - Management Team								
41			CX, - Daniel Mouawad								
42			Head of CG – Head of Corporate Governance, Michael Graham					GH R & G - Group Head - Regeneration and Growth, Heather Morgan			
43			Deputy Head of ICT – Alistair Corkish					IGO - Information Governance Officer, Clare Williams			
44			DCX (TC) – Terry Collier					HRM – Human Resources Manager, Debbie O’Sullivan			
45			HSIRM - Health and Safety, Insurance and Risk Manager – Stuart Mann					CM- Contract Managers			
46			GH C & T - Group Head - Commissioning and Transformation, Sandy Muirhead					Joint Group Heads of CW – Joint Group Heads for Community Wellbeing, Deborah Ashman and Karen Sinclair			
47			GH - NS - Group Head - Neighbourhood Services- Jackie Taylor					LSM - Leisure Services Manager, Lisa Stonehouse			
48			DCX (LO) – Lee O’Neil					RRO – Risk and Resilience Officer, Nick Moon			
49			SEHM - Senior Environmental Health Manager, Tracey Wilmott-French					EDM – Economic Development Manager, Keith McGroary			
50			PS - Principal Solicitor, Victoria Statham					IAM - Internal Audit Manager, Punita Talwar			
51			AGH CR - Acting Group Head for Customer Relations, Roy Tilbury					SO- Sustainability Officer, Mark Rachwal			
52											
53			PORTFOLIO HOLDERS - recorded under risk ownership column								
54											
55											
56											
57											

**Cabinet****25 September 2019**

<b>Title</b>	Capital Monitoring Report		
<b>Purpose of the report</b>	To note		
<b>Report Author</b>	Laurence Woolven (Chief Accountant)		
<b>Cabinet Member</b>	Councillor Tony Harman	<b>Confidential</b>	No
<b>Corporate Priority</b>	Financial Sustainability		
<b>Recommendations</b>	Cabinet to note the current level of spend.		
<b>Reason for Recommendation</b>	Not applicable		

**1. Expenditure to date and Estimated Outturn**

- 1.1 Attached as Appendix A & B is the actual spend to date on capital covering the period April to July 2019.
- 1.2 For the period ending July 2019, capital expenditure including commitments was £15.8m, with the projected outturn of £65.2m leading to an expected underspend of £35.3m.

**Councillor Attewell – Housing**

- 1.3 The Landlord guarantee scheme is currently expected to be £25k underspent this year.

**Councillor Barratt – Environment and Compliance**

- 1.4 There are no major variances forecast in this area.

**Councillor Harvey – Planning and Regeneration**

- 1.5 It is projected that this area could underspend by £35.3m, primarily as a result of slippage of some of the works on the Leisure Centre, Thameside House, West Wing, Whitehouse Hostel and Ashford Hospital.

### **Councillor Harvey – Leader**

- 1.6 The Acquisition of Assets scheme is currently forecast to be fully spent as the council continue to look for opportunities within the borough.

### **Councillor Boughtflower – Corporate Management**

- 1.7 This area is forecasting an underspend of £11k on members electronic devices.

## **2. Financial implications**

- 2.1 Any underspend on the approved Capital Programme enables the authority to invest the monies to gain additional investment income or can be used to fund additional schemes.

## **3. Timetable for implementation**

- 3.1 Bi monthly monitoring reports are prepared for Management team and incorporate revised actual figures.

**Background papers: None**

**Appendices: A&B**

## CAPITAL MONITORING REPORT AT 31 JULY 2019

Portfolio Member	ORIGINAL BUDGET	CARRY FORWARDS	SUPPLEMENTARY ESTIMATE	REVISED BUDGET	ACTUALS YTD	COMMIT MENTS	MANAGERS PROJECTED OUTTURN	MANAGERS PROJECTION TO REVISED BUDGET
Cllr Attewell - Housing	84,200	65,000	-	149,200	207,220	612	124,200	(25,000)
Cllr Barratt - Environment & Compliance	273,100	216,700	-	489,800	116,602	115,780	489,800	-
Cllr Harvey - Planning and Regeneration	37,255,200	16,944,200	6,780,000	60,979,400	1,133,869	13,102,189	23,948,140	(35,281,390)
Cllr Harvey - Leader	40,000,000	-	-	40,000,000	850,880	169,831	40,000,000	-
Cllr Boughtflower - Corporate Management	438,000	249,000	-	687,000	49,499	42,671	676,000	(11,000)
	<b>78,050,500</b>	<b>17,474,900</b>	<b>6,780,000</b>	<b>102,305,400</b>	<b>2,358,071</b>	<b>13,431,084</b>	<b>65,238,140</b>	<b>(35,317,390)</b>



# CAPITAL MONITORING REPORT AT 31 JULY 2019

Portfolio Member / Service Head	Cost Centre	Description	Original Budget	Carry Forwards	Supplementary Estimate	Revised Budget	Actuals YTD	Commit ments	Managers Projected Outturn	Managers Projection to Revised Budget	Comments
<b><u>Housing Investment Programme</u></b>											
<b><u>Cllr Attewell - Housing</u></b>											
Deborah Ashman & K Sinclair	40203	Disabled Facilities Mandatory	770,000	-	-	770,000	202,220	612	770,000	-	
Deborah Ashman & K Sinclair	40204	Disabled Facilities Discretion	29,600	-	-	29,600	5,000	-	29,600	-	Expenditure expected in the latter part of the financial year
		Less Specified Capital Grant	(770,000)	-	-	(770,000)	-	-	(770,000)	-	
		<b>Net Cost of Disabled Facilities Grants</b>	<b>29,600</b>	<b>-</b>	<b>-</b>	<b>29,600</b>	<b>207,220</b>	<b>612</b>	<b>29,600</b>	<b>-</b>	
Deborah Ashman & K Sinclair	40209	Home Improvement Agency grant	81,000	-	-	81,000	-	-	81,000	-	Expenditure expected in the latter part of the financial year
		HIA Funding	(26,400)	-	-	(26,400)	-	-	(26,400)	-	
		<b>Total</b>	<b>54,600</b>	<b>-</b>	<b>-</b>	<b>54,600</b>	<b>-</b>	<b>-</b>	<b>54,600</b>	<b>-</b>	
<b>Total For HIP</b>			<b>84,200</b>	<b>-</b>	<b>-</b>	<b>84,200</b>	<b>207,220</b>	<b>612</b>	<b>84,200</b>	<b>-</b>	
<b><u>Other Capital Programme</u></b>											
<b><u>Cllr Attewell - Housing</u></b>											
Sandy Muirhead	42015	Landlord Guarantee Scheme	-	65,000	-	65,000	-	-	40,000	(25,000)	The project is expected to be completed in this financial year
		<b>Total</b>	<b>-</b>	<b>65,000</b>	<b>-</b>	<b>65,000</b>	<b>-</b>	<b>-</b>	<b>40,000</b>	<b>(25,000)</b>	
<b><u>Cllr Barratt - Environment &amp; Compliance</u></b>											
Jackie Taylor	41025	Tennis Court Refurbishment	-	6,000	-	6,000	16,502	-	6,000	-	This project has now been completed. Overspends are being moved against Revenue budget.
Jackie Taylor	41502	Refuse/Recycling Vehicles	129,000	-	-	129,000	-	-	129,000	-	Different specifications are being developed and project is expected to be completed by end of this financial year
Jackie Taylor	41612	Recycling Bins	27,000	-	-	27,000	-	-	27,000	-	Bins will be ordered throughout the financial year depending on need as & when identified
Jackie Taylor	41614	CCTV Provision	37,100	-	-	37,100	-	-	37,100	-	Project is underway and expected to be completed by end of this financial year
Jackie Taylor	41620	Wheelie Bins	50,000	11,000	-	61,000	22,343	-	61,000	-	Bins will be ordered throughout the financial year depending on need as & when identified
Jackie Taylor	42027	Domestic Home Energy	30,000	-	-	30,000	5,833	4,920	30,000	-	Project is underway and expected to be completed by end of this financial year
Jackie Taylor	42043	Renewal of Toilet Facilities	-	55,200	-	55,200	55,507	5,746	55,500	300	This project is expected to be completed in this financial year and overspends are funded through other capital projects. Jackie to look into the outstanding commitments
Jackie Taylor	41621	CCTV Enhancement	-	120,000	-	120,000	16,417	105,114	119,700	(300)	Contract has been awarded to Runnymede BC and is progressing well and expected to be completed by end of this financial year.
		<b>Total</b>	<b>273,100</b>	<b>192,200</b>	<b>-</b>	<b>465,300</b>	<b>116,602</b>	<b>115,780</b>	<b>465,300</b>	<b>-</b>	
Lee O'Neil	41314	Air Quality	-	24,500	-	24,500	-	-	24,500	-	The project is in progress with other priorities and expected to be completed by end of 2019/20.
		<b>Total</b>	<b>-</b>	<b>24,500</b>	<b>-</b>	<b>24,500</b>	<b>-</b>	<b>-</b>	<b>24,500</b>	<b>-</b>	



# CAPITAL MONITORING REPORT AT 31 JULY 2019

Portfolio Member / Service Head	Cost Centre	Description	Original Budget	Carry Forwards	Supplementary Estimate	Revised Budget	Actuals YTD	Commit ments	Managers Projected Outturn	Managers Projection to Revised Budget	Comments
<b><u>Cllr Harvey - Planning and Regeneration</u></b>											
Heather Morgan	<a href="#">41015</a>	Runnymede Estates	55,600	-	-	55,600	-	-	55,600	-	Capitalised Planned Maintenance expenditure to be moved here at the end of the financial year
Heather Morgan	<a href="#">41024</a>	SpelthorneLeisurCenDevelopment	7,090,000	-	-	7,090,000	382,110	1,721,597	2,103,707	(4,986,293)	Site selection and public consultation strategy to be approved in Sept 19. Construction, subject to planning, likely to start in Q2 2020.
Heather Morgan	<a href="#">41026</a>	Laleham Park	-	198,300	50,000	248,300	-	-	248,300	-	Currently at the design stage. Project hoping to be completed in May 2020.
Heather Morgan	<a href="#">41622</a>	Affordable Housing Opportunity	-	343,200	-	343,200	-	450		(343,200)	Options will continue to be explored for potential residential acquisitions.
Heather Morgan	<a href="#">42010</a>	KG Car Park Improvements	-	44,000	-	44,000	(2,000)	-			Options being explored factoring West Wing project.
Heather Morgan	<a href="#">42017</a>	Memorial Gardens			-		2,256		2,260	2,260	There are some retention payments are still due to Runnymede Borough Council
Heather Morgan	<a href="#">42034</a>	Community Centre Projects	-		130,000	130,000	(4,478)	4,478	130,000	-	Design work underway, project expected to be complete summer 2020.
Heather Morgan	<a href="#">41328</a>	Ashford MSCP Improvements	465,000	-	-	465,000	-	-	465,000	-	Early feasibility stage. Yet to establish what stakeholders want and for cabinet approval.
Heather Morgan	<a href="#">42036</a>	Plot 12&13 Towpath Car Park	-	56,200	-	56,200	-	-	56,200	-	Initial project feasibility being carried out.
Heather Morgan	<a href="#">42039</a>	Bugle	-	50,000		50,000	-	46,935	47,000	(3,000)	Project complete. Awaiting final retention payment March 20.
Heather Morgan	<a href="#">42040</a>	82 Cranford Avenue	-	-	-	-	-	-		-	
Heather Morgan	<a href="#">42041</a>	Churchill	-	14,500	-	14,500	(50)	15,351	15,350	850	Project complete. Awaiting final retention payment Sept 19.
Heather Morgan	<a href="#">42042</a>	Ceaser Court	10,123,100	-	-	10,123,100	260,346	9,962,827	10,223,173	100,073	Project will be complete in FY 2020/21.
Heather Morgan	<a href="#">42051</a>	Building Improvements	5,000,000	-	-	5,000,000	-	-		(5,000,000)	
Heather Morgan	<a href="#">42052</a>	Whitehouse	1,501,500	-	-	1,501,500	14,100	307,691	321,790	(1,179,710)	Delayed until allocated under local plan.
Heather Morgan	<a href="#">42054</a>	Thameside House	7,980,000	-	-	7,980,000	13,133	49,517	2,227,470	(5,752,530)	Construction due to start Q2 in 2020 subject to planning permission being approved.
Heather Morgan	<a href="#">42055</a>	West Wing	5,040,000	-	-	5,040,000	112,880	437,260	3,153,110	(1,886,890)	Construction and project completion anticipated Q4 2020.
Heather Morgan	<a href="#">42056</a>	Whitehouse Hostel	-	-	4,000,000	4,000,000	80,244	28,068	1,605,390	(2,394,610)	Construction to start Q4 2019 with project completion exepcted Q4 2020.
Heather Morgan	<a href="#">42057</a>	Ashford Hospital	-	16,238,000	-	16,238,000	140,728	444,659	2,189,730	(14,048,270)	Application submitted and construction due to start Q2 2020 subject to planning permission being approved.
Heather Morgan	<a href="#">42058</a>	Waterfront	-	-	-	-	-	-		-	Tender work started 29 July. Cabinet expected to approve preferred partner in Feb 2020.
Heather Morgan	<a href="#">42059</a>	Northumberland Close	-	-	-	-	59,259	19,626	78,900	78,900	Acquisition subject to planning approval which is going to August planning committee.
Heather Morgan	<a href="#">42060</a>	Oast House	-	-	-	-	23,260	875	24,130	24,130	Yet to complete acquisition & refine feasibility design budget.
Heather Morgan	<a href="#">42061</a>	Laleham Park Pavilion Redev.	-	-	-	-	630	-		-	Duplicate code, this will come under 41026.
Heather Morgan	<a href="#">42062</a>	Harper House Redevelopent	-	-	2,600,000	2,600,000	7,412	-	894,130		Subject to planning permission being approved, construction could start late Q4 2019.
Heather Morgan	<a href="#">41619</a>	Small Scale Area Regeneration	-	-	-	-	44,039	62,856	106,900	106,900	Project complete, awaiting final invoice to be paid of £63k shown in commitments.
<b>Total</b>			<b>37,255,200</b>	<b>16,944,200</b>	<b>6,780,000</b>	<b>60,979,400</b>	<b>1,133,869</b>	<b>13,102,189</b>	<b>23,948,140</b>	<b>(35,281,390)</b>	
<b><u>Cllr Harvey - Leader</u></b>											
Heather Morgan	<a href="#">42038</a>	Acquisition of Assets	40,000,000	-	-	40,000,000	850,880	169,831	40,000,000	-	The council is continuing to explore a number of opportunities in the borough
<b>Total</b>			<b>40,000,000</b>	<b>-</b>	<b>-</b>	<b>40,000,000</b>	<b>850,880</b>	<b>169,831</b>	<b>40,000,000</b>	<b>-</b>	

## CAPITAL MONITORING REPORT AT 31 JULY 2019

Portfolio Member / Service Head	Cost Centre	Description	Original Budget	Carry Forwards	Supplementary Estimate	Revised Budget	Actuals YTD	Commit ments	Managers Projected Outturn	Managers Projection to Revised Budget	Comments
<b><u>Cllr Boughtflower - Corporate Management</u></b>											
Alistair Corkish	<a href="#">43003</a>	New Software	20,000	-	-	20,000	(2,049)	11,750	20,000	-	Expenditure on various software enhancements throughout the financial year.
Alistair Corkish	<a href="#">43606</a>	Replacement Data Cabinets	12,000	-	-	12,000	-	-	12,000	-	The project is expected to be completed in this financial year
Alistair Corkish	<a href="#">43608</a>	Other Hardware	40,000	-	-	40,000	17,973	-	40,000	-	Expenditure on various hardware enhancements throughout the financial year
Alistair Corkish	<a href="#">43611</a>	Mobiles and Tablets	10,000	-	-	10,000	-	-	10,000	-	Expenditure expected later during this financial year
Alistair Corkish	<a href="#">43619</a>	Members Electronic Devices	41,000	-	-	41,000	26,104	-	30,000	(11,000)	Project is in progress and further expenditure expected later during this financial year
Alistair Corkish	<a href="#">43625</a>	Customer Portal	-	10,000	-	10,000	-	-	10,000	-	Currently in touch with Suppliers about possible options
Alistair Corkish	<a href="#">43626</a>	Customer Services Contact Cent	-	40,000	-	40,000	-	-	40,000	-	Various quotes have been invited which will be looked at and the decision will be taken based on specific requirements. Project is expected to be completed by end of this financial year
Alistair Corkish	<a href="#">43628</a>	Reception Terminals	10,000	-	-	10,000	-	-	10,000	-	This is part of Lima project which is expected to start later in the year and expected to be completed by end of this financial year
Alistair Corkish	<a href="#">43629</a>	Sharepoint Upgrade	-	35,000	-	35,000	-	-	35,000	-	Project is in progress and expected to be completed by end of this financial year
Alistair Corkish	<a href="#">43630</a>	SQL Server	-	-	-	-	(4,500)	4,500	-	-	Creditors relating to 2018/19
<b>Total</b>			<b>133,000</b>	<b>85,000</b>	<b>-</b>	<b>218,000</b>	<b>37,528</b>	<b>16,250</b>	<b>207,000</b>	<b>(11,000)</b>	
Sandy Muirhead	<a href="#">42008</a>	Project Lima	-	69,000	-	69,000	9,213	26,421	69,000	-	This project is expected to be completed by end of this financial year
Sandy Muirhead	<a href="#">43511</a>	Scanners Corporate EDMS Roll out	-	5,000	-	5,000	2,759	-	5,000	-	Further backscanning equipment is also required for Human Resources.
Sandy Muirhead	<a href="#">43512</a>	Sharepoint redesign & Relaunch	-	90,000	-	90,000	-	-	90,000	-	This project is under review and will be integrated with other ICT projects.
Sandy Muirhead	<a href="#">43515</a>	Corporate EDMS Project	305,000	-	-	305,000	-	-	305,000	-	This is part of office 365 and currently the full analysis is being undertaken to find out Licence requirements & software set up. The project is expected to be completed by end of the financial year.
<b>Total</b>			<b>305,000</b>	<b>164,000</b>	<b>-</b>	<b>469,000</b>	<b>11,972</b>	<b>26,421</b>	<b>469,000</b>	<b>-</b>	
<b>Total For Other</b>			<b>77,966,300</b>	<b>17,474,900</b>	<b>6,780,000</b>	<b>102,221,200</b>	<b>2,150,851</b>	<b>13,430,472</b>	<b>65,153,940</b>	<b>(35,317,390) #</b>	
Total Expenditure			78,846,900	17,474,900	6,780,000	103,101,800	2,358,071	13,431,084	66,034,540	(35,317,390)	
Total Funding			(796,400)	-	-	(796,400)	-	-	(796,400)	-	
<b>GRAND TOTAL</b>			<b>78,050,500</b>	<b>17,474,900</b>	<b>6,780,000</b>	<b>102,305,400</b>	<b>2,358,071</b>	<b>13,431,084</b>	<b>65,238,140</b>	<b>(35,317,390)</b>	

**Cabinet****25 September 2019**

<b>Title</b>	Revenue Monitoring Report		
<b>Purpose of the report</b>	To note		
<b>Report Author</b>	Laurence Woolven (Chief Accountant)		
<b>Cabinet Member</b>	Councillor Tony Harman	<b>Confidential</b>	No
<b>Corporate Priority</b>	Financial Sustainability		
<b>Recommendations</b>	To note the current level of spend		
<b>Reason for Recommendation</b>	Not applicable		

**1. Key issues**

- 1.1 This report provides a summary of the forecast outturn position for the 2019-20 financial year, based on income and expenditure up to the end of July 2019.
- 1.2 The forecast outturn below shows a positive variance of £2.766m.

	Revised Budget £'000	Forecast Outturn £'000	Variance £'000
Service level Expenditure	65,292	64,549	(743)
Housing Benefit Income	(32,021)	(31,971)	50
Service level Income	(10,313)	(11,180)	(867)
Salary budget saving ( <i>actual vacancy savings are reflected in services expenditure outturn</i> )	(300)	-	300
Net Acquisition Income	(10,144)	(10,144)	-
Property Development costs	2,441	935	(1,506)
Other Adjustments	(540)	(540)	-
External Financing	(4,736)	(4,736)	-
Revenue Carry forward	(1,626)	(1,626)	-
Council Tax Income	(8,053)	(8,053)	-
Net	-	(2,766)	(2,766)

## 2. Options analysis and proposal

2.1 The following highlights variances greater than 5% or £5k of the spend area.

### Leader

<b>Spend Area</b>	<b>Variance £'000</b>	<b>Comment</b>
Elections	(6)	Minor saving expected provided there is no by election
<b>Total</b>	<b>(6)</b>	

### Deputy Leader and Finance

<b>Spend Area</b>	<b>Variance £'000</b>	<b>Comment</b>
Corporate Publicity	(17)	Underspend expected due to vacant post and higher recharges for shared services
General Grants	(10)	Minor underspend anticipated
<b>Total</b>	<b>(27)</b>	

### Corporate Management

<b>Spend Area</b>	<b>Variance £'000</b>	<b>Comment</b>
ICT	(5)	Underspend expected due to vacant posts
Corporate Management	(85)	Retention allowance payments lower than anticipated
<b>Total</b>	<b>(90)</b>	

### Planning

<b>Spend Area</b>	<b>Variance £'000</b>	<b>Comment</b>

Planning Policy	10	Legal and court costs
Planning Development Control	(105)	Planning performance agreement and an increase in pre-application advice
Building Control	(25)	Increased activity
<b>Total</b>	<b>(120)</b>	

### Environment & Compliance

Spend Area	Variance £'000	Comment
Refuse Collection	(5)	Slightly higher income than budgeted
Waste Recycling	(5)	Slightly higher income than budgeted
Car Parks	(50)	Higher income from increased usage of major car parks expected
<b>Total</b>	<b>(60)</b>	

### Community Well Being and Housing

Spend Area	Variance £'000	Comment
Day Centres	(18)	Additional income from sale of food and activities partly offset by overspends on PRS, tutors and other expenditure
Meals on Wheels	(23)	Reimbursement payment from 2018/19 received in 2019/20
Spelthorne Troubled Families	14	Transport costs are predicted to be higher
Housing Needs	40	Additional salary costs
<b>Total</b>	<b>13</b>	

### Economic Development, Customer Services, Estates and Transport

Spend Area	Variance £'000	Comment
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Customer Services	50	Software costs expected to be higher due to card charges and CT localisation expenditure
Facilities Management	(61)	Underspend on office moves expected
Economic Development	(733)	Slippage of the ring-fenced Economic Development pot, schemes are currently being investigated for use of these funds
Asset Management	(420)	Vacant posts, a Business Rates refund and underspends on property schemes
Staines-upon-Thames Programme	(90)	Project underspend will be required to be carried forward
General Property Expenses	(6)	Additional income from wayleaves/easements offsetting additional electricity costs
<b>Total</b>	<b>(1,260)</b>	

## 2.2 Asset Acquisitions

The table below shows the latest monitoring position for the acquired assets, the net income is used to meet additional expenditure resulting from reduced government grant, Surrey County Council funding and other pressures.

	<b>Revised Budget £'000</b>	<b>Forecast Outturn £'000</b>	<b>Variance £'000</b>
<b>Rental Income</b>	(50,629)	(50,629)	0
<b>Loan Interest Payable</b>	23,028	23,028	0
<b>Minimum Revenue Provision</b>	11,052	11,052	0
<b>Sinking Funds</b>	6,405	6,405	0
<b>Set Aside for specific revenue purposes</b>	555	555	0
<b>Net Income (used to fund Revenue budget)</b>	<b>(9,589)</b>	<b>(9,589)</b>	<b>0</b>

2.3 It can be seen above that the Council places a significant amount of the income earned into sinking funds to cover future changes in circumstance, such as capital refurbishments or rent free periods. The sinking funds will be built up over a number of years in anticipation of when required. The sinking fund positions for the various acquisitions are as follows:

	<b>Balance 31/03/19 £'000</b>	<b>Movements 2019/20 £'000</b>	<b>Balance 31/03/20 £'000</b>
<b>BP Main Site</b>	3,190	500	3,690
<b>BP SW Corner</b>	655	150	805
<b>Elmbrook House</b>	223	50	273
<b>12 Hammersmith Grove</b>	2,208	900	3,108
<b>Stockley Park</b>	450	100	550
<b>World Business Centre 4</b>	0	200	200
<b>Communications House</b>	536	500	1,036
<b>Thames Tower</b>	1,121	840	1,961
<b>Charter Building</b>	1,543	2,480	4,023
<b>Porter Building</b>	677	685	1,362
<b>Total</b>	<b>10,603</b>	<b>6,405</b>	<b>17,008</b>

## 2.4 Property Development Costs

The slippage of some of the Development schemes has resulted in a forecast underspend of £1.5m on the revenue impact of the capital borrowing. This underspend would be required to be carried forward against spend in future years.

The council is currently working with its treasury advisors (Arlingclose) to consider borrowing options for these projects in order to take advantage of the current low interest rates.

## 3. Financial implications

3.1 Financial implications are as set out within the report and appendices.

## 4. Other considerations

4.1 There are none

## 5. Timetable for implementation

5.1 Bi – monthly reports are produced for Management team

**Background papers: None**

**Appendices:**

**A and B**

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## APPENDIX A

### 2019/20 Net Revenue Budget Monitoring As at end of 31 JULY 2019

	19/20	19/20	19/20	19/20
	Budget		Forecast	Variance
	Original	Revised	Outturn	to Revised
	£	£	£	£
Gross Expenditure	63,666,200	65,292,300	64,549,400	(742,900)
Less Housing Benefit grant	(32,021,000)	(32,021,000)	(31,971,000)	50,000
Less Specific fees and charges income	(10,313,000)	(10,313,000)	(11,179,840)	(866,840)
<b>Net Expenditure - broken down as below</b>	<b>21,332,200</b>	<b>22,958,300</b>	<b>21,398,560</b>	<b>(1,559,740)</b>
Leader of the Council	1,622,800	1,671,400	1,665,500	(5,900)
Deputy Leader and Finance	3,301,000	3,301,000	3,272,000	(29,000)
Corporate Management	2,342,600	2,412,600	2,320,500	(92,100)
Planning	1,012,100	1,012,100	891,160	(120,940)
Environment and Compliance	5,524,000	5,698,800	5,633,400	(65,400)
Community Wellbeing and Housing	2,497,200	2,531,600	2,542,370	10,770
Economic Dev, Customer Ser, Estates & Transport	5,032,500	6,330,800	5,073,630	(1,257,170)
<b>NET EXPENDITURE AT SERVICE LEVEL</b>	<b>21,332,200</b>	<b>22,958,300</b>	<b>21,398,560</b>	<b>(1,559,740)</b>
Salary expenditure - vacancy monitoring	(300,000)	(300,000)	-	300,000
<b>NET EXPENDITURE</b>	<b>21,032,200</b>	<b>22,658,300</b>	<b>21,398,560</b>	<b>(1,259,740)</b>
<b>NET EXPENDITURE</b>	<b>21,032,200</b>	<b>22,658,300</b>	<b>21,398,560</b>	<b>(1,259,740)</b>
Asset Acquisition Income	(50,629,100)	(50,629,100)	(50,629,100)	-
Debt Interest Payable	23,028,200	23,028,200	23,028,200	-
Minimum Revenue Provision	11,051,700	11,051,700	11,051,700	-
Refurbishments Reserve Contributions	6,405,000	6,405,000	6,405,000	-
Property Development Project revenue impact	2,441,400	2,441,400	935,200	(1,506,200)
Interest earnings	(1,290,000)	(1,290,000)	(1,290,000)	-
Revenue Contributions to Capital Outlay	750,000	750,000	750,000	-
<b>BUDGET REQUIREMENT</b>	<b>12,789,400</b>	<b>14,415,500</b>	<b>11,649,560</b>	<b>(2,765,940)</b>
Baseline NNDR Funding	(3,000,000)	(3,000,000)	(3,000,000)	-
Non Ring-fenced Grants	(981,400)	(981,400)	(981,400)	-
New Homes Bonus	(754,600)	(754,600)	(754,600)	-
<b>NET BUDGET REQUIREMENT</b>	<b>8,053,400</b>	<b>9,679,500</b>	<b>6,913,560</b>	<b>(2,765,940)</b>
2017/18 Revenue carry forward	0	(1,626,100)	(1,626,100)	-
Collection Fund Surplus/(deficit)	(19,000)	(19,000)	(19,000)	-
Income from Council Tax	(8,034,400)	(8,034,400)	(8,034,400)	-
<b>Net Position</b>	<b>-</b>	<b>-</b>	<b>(2,765,940)</b>	<b>(2,765,940)</b>

<b>Appendix B</b>				
<b>REVENUE MONITORING 2019/20</b>				
<b>EXPENDITURE AND INCOME SUMMARY 31 JULY 2019</b>				
<b>Results to</b>	<b>Budget</b>		<b>Forecast</b>	<b>Variance</b>
<b>31-Jul-19</b>	<b>Original</b>	<b>Revised</b>	<b>Outturn</b>	<b>to Revised</b>
	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>
<b>Leader of the Council</b>				
Employees	970,700	1,019,300	1,087,900	68,600
Other Expenditure	835,600	835,600	804,700	(30,900)
Income	(183,500)	(183,500)	(227,100)	(43,600)
	<b>1,622,800</b>	<b>1,671,400</b>	<b>1,665,500</b>	<b>(5,900)</b>
<b>Deputy Leader and Finance</b>				
Employees	2,712,200	2,712,200	2,700,500	(11,700)
Other Expenditure	594,800	594,800	594,300	(500)
Income	(6,000)	(6,000)	(22,800)	(16,800)
	<b>3,301,000</b>	<b>3,301,000</b>	<b>3,272,000</b>	<b>(29,000)</b>
<b>Corporate Management</b>				
Employees	1,754,600	1,764,600	1,676,500	(88,100)
Other Expenditure	588,000	648,000	680,000	32,000
Income	0	0	(36,000)	(36,000)
	<b>2,342,600</b>	<b>2,412,600</b>	<b>2,320,500</b>	<b>(92,100)</b>
<b>Planning</b>				
Employees	1,636,400	1,636,400	1,618,840	(17,560)
Other Expenditure	276,900	276,900	311,770	34,870
Income	(901,200)	(901,200)	(1,039,450)	(138,250)
	<b>1,012,100</b>	<b>1,012,100</b>	<b>891,160</b>	<b>(120,940)</b>
<b>Environment and Compliance</b>				
Employees	5,930,900	5,930,900	5,928,700	(2,200)
Other Expenditure	3,822,300	3,997,100	4,187,800	190,700
Income	(4,229,200)	(4,229,200)	(4,483,100)	(253,900)
	<b>5,524,000</b>	<b>5,698,800</b>	<b>5,633,400</b>	<b>(65,400)</b>
<b>Community Wellbeing and Housing</b>				
Employees	3,735,000	3,735,000	3,733,410	(1,590)
Other Expenditure	34,956,600	34,991,000	35,305,640	314,640
Housing Benefit grant income	(32,021,000)	(32,021,000)	(31,971,000)	50,000
Income	(4,173,400)	(4,173,400)	(4,525,680)	(352,280)
	<b>2,497,200</b>	<b>2,531,600</b>	<b>2,542,370</b>	<b>10,770</b>
<b>Economic Dev, Customer Services, Estates &amp; Transport</b>				
Employees	1,982,000	1,982,000	1,836,970	(145,030)
Other Expenditure	3,870,200	5,168,500	4,082,370	(1,086,130)
Income	(819,700)	(819,700)	(845,710)	(26,010)
	<b>5,032,500</b>	<b>6,330,800</b>	<b>5,073,630</b>	<b>(1,257,170)</b>
<b>NET EXPENDITURE AT SERVICE LEVEL</b>	<b>21,332,200</b>	<b>22,958,300</b>	<b>21,398,560</b>	<b>(1,559,740)</b>
Total Employees	<b>18,721,800</b>	<b>18,780,400</b>	<b>18,582,820</b>	<b>(197,580)</b>
Total Other Expenditure	<b>44,944,400</b>	<b>46,511,900</b>	<b>45,966,580</b>	<b>(545,320)</b>
Housing Benefit grant income	<b>(32,021,000)</b>	<b>(32,021,000)</b>	<b>(31,971,000)</b>	<b>50,000</b>
Total Income	<b>(10,313,000)</b>	<b>(10,313,000)</b>	<b>(11,179,840)</b>	<b>(866,840)</b>
	<b>21,332,200</b>	<b>22,958,300</b>	<b>21,398,560</b>	<b>(1,559,740)</b>
<b>Total Expenditure</b>	<b>63,666,200</b>	<b>65,292,300</b>	<b>64,549,400</b>	<b>(742,900)</b>
<b>Total Income</b>	<b>(42,334,000)</b>	<b>(42,334,000)</b>	<b>(43,150,840)</b>	<b>(816,840)</b>

REVENUE MONITORING 2019/20				
EXPENDITURE AND INCOME SUMMARY 31 JULY 2019				
<i>Results to</i>	Budget		Forecast	Variance
<i>31-Jul-19</i>	Original	Revised	Outturn	to Revised
	£	£	£	£
Net	21,332,200	22,958,300	21,398,560	(1,559,740)

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**Cabinet****25 September 2019**

<b>Title</b>	Proposed new extension to Fordbridge Day Centre		
<b>Purpose of the report</b>	To make a decision		
<b>Report Author</b>	Heather Morgan – Group Head Regeneration and Growth		
<b>Cabinet Member</b>	Councillor Ian Harvey	<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>Recommendations</b>	<p><b>Cabinet to:</b></p> <p><b>Recommend to Council a supplementary capital estimate of £130,000 for the proposed extension at the Fordbridge Centre, and its inclusion in the 2019/20 capital programme</b></p> <p><b>Approve the capital spend of £130,000 for the extension</b></p> <p><b>Agree to proceed with Option 3 as set out in Appendix 1</b></p>		
<b>Reason for Recommendation</b>	<p><b>The Centre is operating at full capacity and cannot currently accommodate additional visitors. The Centre has requested a ground floor extension in order that it can accommodate more visitors for lunch and to access the Centre facilities/activities.</b></p>		

**1. Key issues**

- 1.1 The Fordbridge Day Centre is a valued resource for local residents. It is currently operating at near full capacity and is unable to accommodate additional visitors who want to attend the Centre to take part in the various activities and have a cooked lunch. The Centre Manager and the Independent Living team have requested that an extension is built to provide further floor area to increase capacity and make the Centre accessible to more local residents.
- 1.2 A feasibility report detailing the options for an extension was produced in 2018 by DNA architectural practice. Three options were identified. These options were provided to the Centre Manager and the Independent Living Team manager. Option 1 was discarded as not meeting the Centre's requirements as it would not provide an additional dining area. Options 2 and 3 were both considered to meet the Centre's requirements by the Centre Manager and Independent Living Team. The Centre Manager stated a

preference for Option 2. Planning advice has been obtained and Option 2 was not considered appropriate to progress as it would not be possible to overcome a number of planning issues. Option 2 would extend the building line significantly forward and out of alignment with neighbouring properties, the building line would be separated from the public footpath only by a hedge. Option 3 does not have significant planning issues to overcome and is considered the favourable option to progress.

- 1.3 The requirement for the extra space relates to seating capacity for the dining room which currently seats 81. The increase in floor area would give 25% extra capacity through the provision of seating 20/21 additional people. Due to the standard of food provided at the centre they are at capacity most days of the week and feel that they are already on the cusp of having to turn people away for meals.
- 1.4 The other important factor is that the OPAL group currently do not eat in the dining room. Their meals are taken upstairs to the area where they undertake activities. In terms of integration into the wider community and equality issues, this does not sit well. It would be preferable if the OPAL group could come and eat meals alongside everyone else.
- 1.5 With careful design, the additional space could provide a flexible space in itself when not being used for eating. For example it could be used for certain activities of the type offered at our centre, classes, games or exercise.
- 1.6 Parking on the site is very limited and the proposed extension would result in the loss of 3 parking bays, one of which is disabled parking bay. The Fordbridge Day Centre site is very tight and the current parking provision is maximised. There is the potential to partially mitigate the loss of parking and to create one additional parking bay on the entrance into the site. A tree would need to be felled to create this parking bay. Parking is a valuable resource at the Day Centre and the loss of parking would be significant. However, the Centre's priority need is for the additional floor space to meet user demand.
- 1.7 An extension providing additional floor space to increase capacity for Centre user's at the Greeno Centre was completed in March 2019. This has proved a valuable resource appreciated by the Greeno Centre users and staff alike who can now comfortably accommodate more users to the Centre.

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

### Recommended option

#### **2.1 That Cabinet:**

Recommend to Council a supplementary capital estimate of £130,000 for the proposed extension at the Fordbridge Centre and its inclusion in the 2019/20 capital programme

Agree the capital spend of £130,000 for the provision of a new extension for the Fordbridge Centre.

Agree to proceed with Option 3 as set out in Appendix 1

Do nothing (not recommended)

- 2.2 Should an extension not be progressed, the Centre will be unable to accommodate additional local residents wishing to access its activities/services and catering. The Centre plays a crucial role in assisting people remain in their own homes reducing the financial burden on the public purse.

### **3. Financial implications**

- 3.1 This capital project will be funded by a revenue contribution to capital from funds set aside from least years underspend. A capital budget of £130,000 has been allocated. The finance is therefore in place. However the works have not been specifically included in the Council Capital Programme for 2019/20. Cabinet are therefore being requested to recommend to Council its inclusion in the Capital Programme

### **4. Other considerations**

- 4.1 Spelride is currently operating at full capacity and will not be able to facilitate transporting additional visitors to the Centre. The Independent Living Team have advised that the increase in visitor numbers is largely made of those who make their own way to the Centre and are not reliant on Spelride.
- 4.2 The extension would reduce the number of parking spaces on site, and the Spelride buses will need to be provided with an alternative drop off point/pick up point on site.

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

- 5.1 The Centre wants to have the extension completed by June 2020. An architect needs to be instructed to produce a design and full planning application pack asap in order that this completion date is achieved. A planning application will have to be submitted as the extension will require a planning consent and the building contract will need to be tendered.

**Background papers:** None

**Appendices:** Appendix 1 – Feasibility Study

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FORDBRIDGE CENTRE | ASHFORD



FEASIBILITY STUDY

ON BEHALF OF



JUNE 2018

CONTENTS

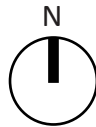
- Site <b>Brief</b>	<a href="#">3</a>
- Site location plan	<a href="#">4</a>
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- Site images	<a href="#">6</a>
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- Existing first floor	<a href="#">8</a>
- Interventions plan	<a href="#">9</a>
- Option1	<a href="#">10</a>
- Options 2	<a href="#">12</a>
- Option 3	<a href="#">13</a>

Date	22/06/2018
Compiled	MC
Checked	NT
Authorised	NT

The site is located on Clarendon Street in Ashford, Surrey just off the main street. It is home to the Fordbridge Day Centre. This is a day centre for elderly people to come during the day and socialize. There are a number of services and recreation activities on offer to people attending the day centre. With increased demand and usage in recent years the centre has been in the unfortunate position of turning people away, as it does not have the facilities to cope with such a volume of people.

It has been proposed that an additional space be added to the existing building in order to accommodate a higher percentage of people on a day to day basis. The following document is a feasibility study to suggest a number of design options as to how this would be achieved with minimal disturbance to the running of the day care centre.

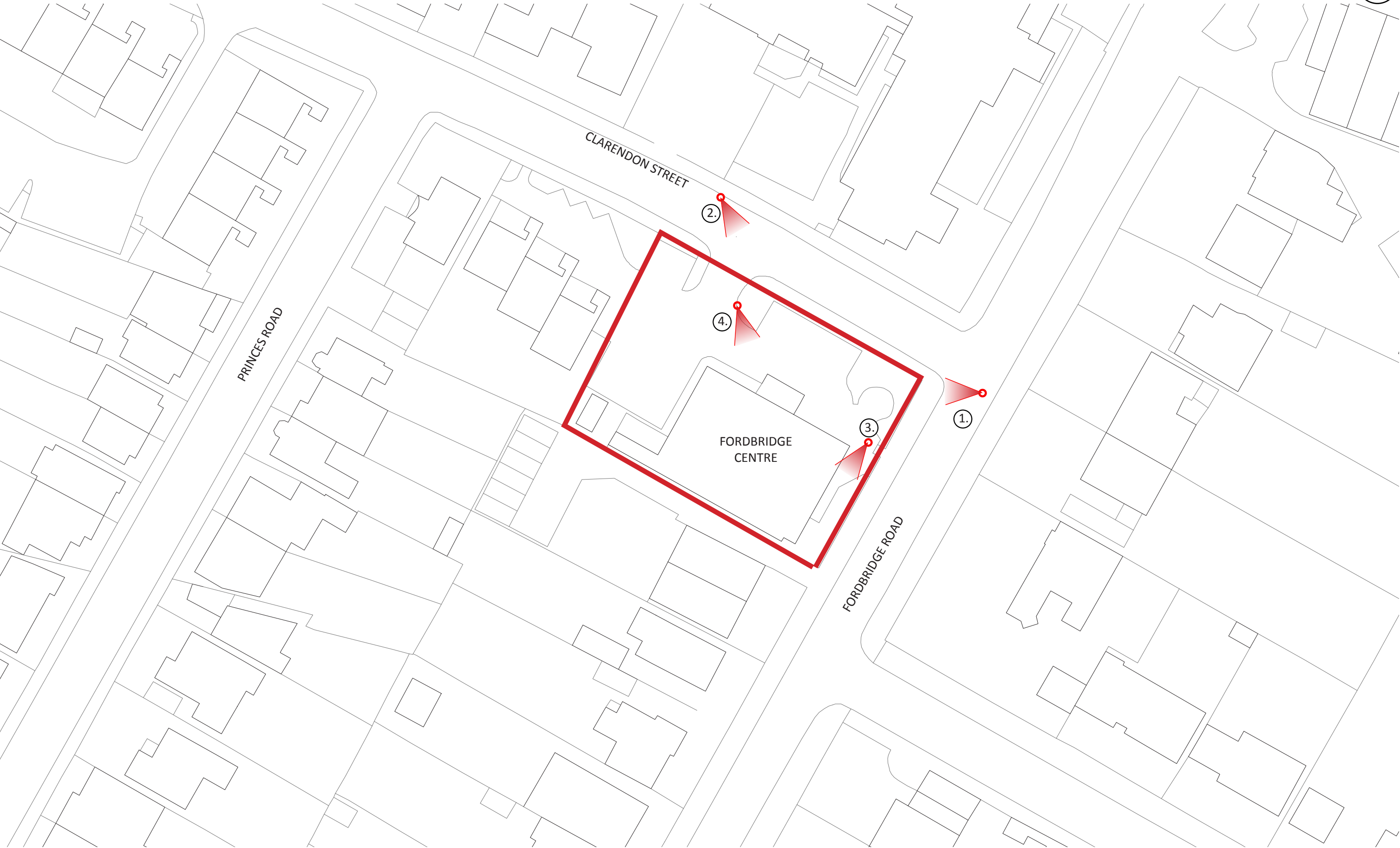
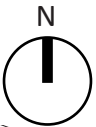




KEY:

- ◀-----▶ Main Access
- Site Boundary
- ▶ Main Street
- ▶ Sun Path









View 1



View 2



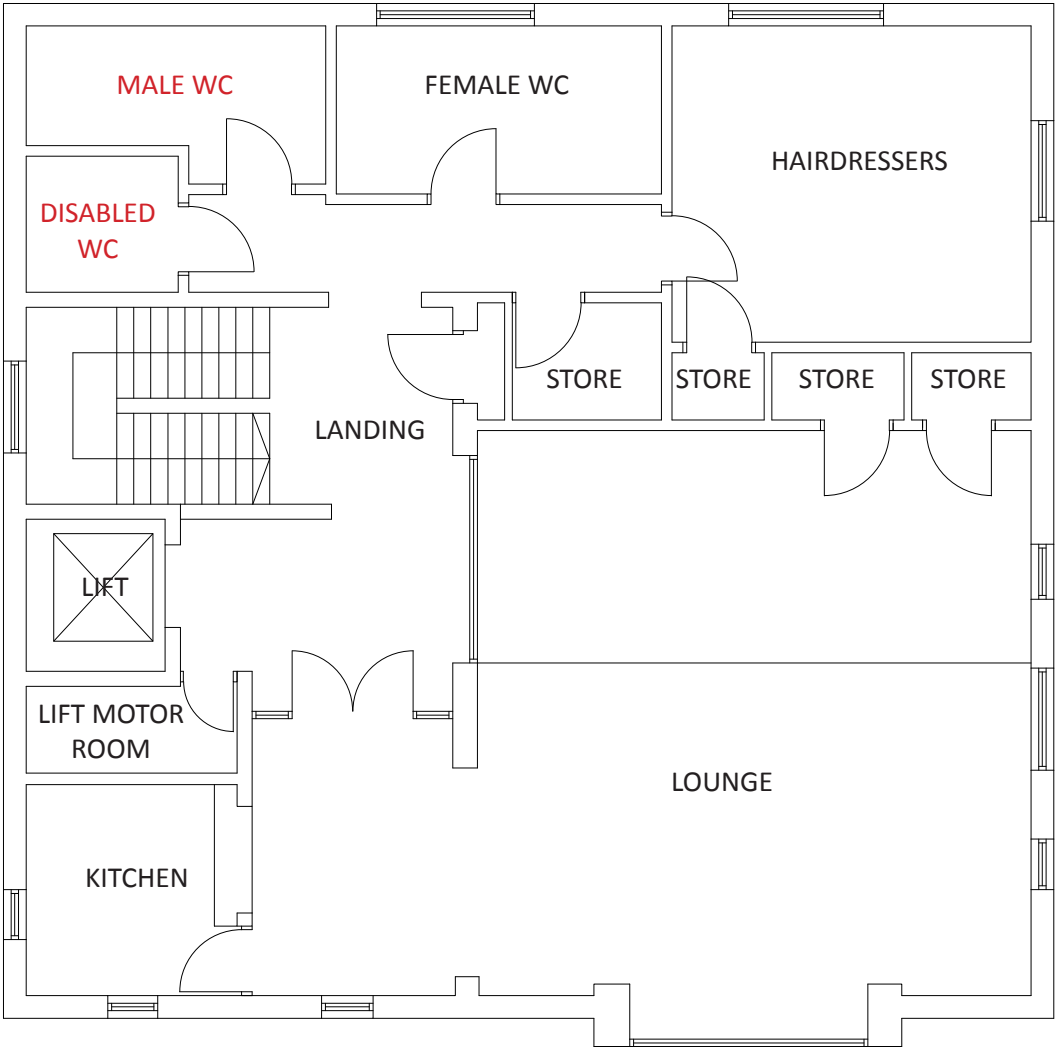
View 3



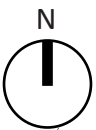
View 4









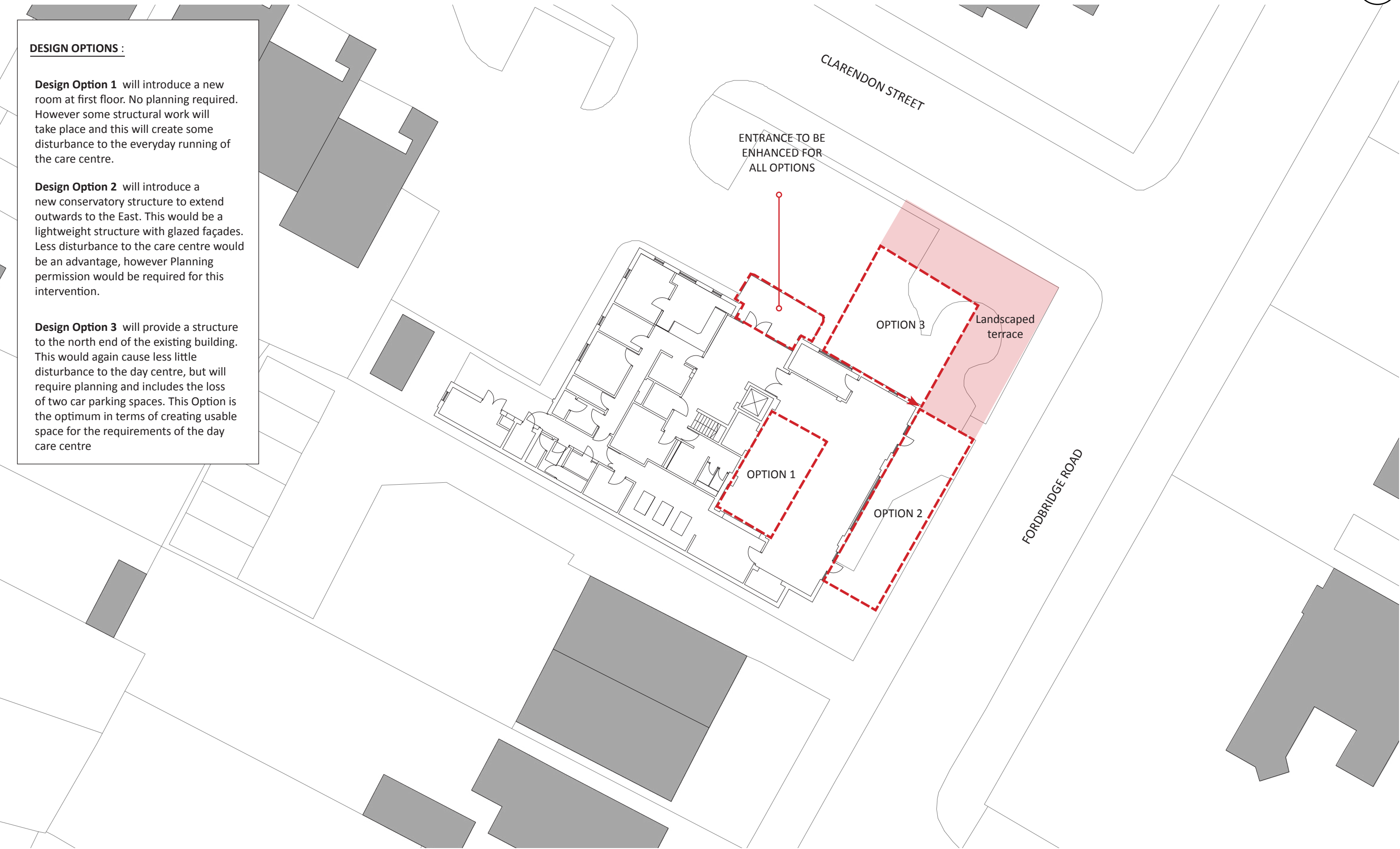


**DESIGN OPTIONS :**

**Design Option 1** will introduce a new room at first floor. No planning required. However some structural work will take place and this will create some disturbance to the everyday running of the care centre.

**Design Option 2** will introduce a new conservatory structure to extend outwards to the East. This would be a lightweight structure with glazed façades. Less disturbance to the care centre would be an advantage, however Planning permission would be required for this intervention.

**Design Option 3** will provide a structure to the north end of the existing building. This would again cause less little disturbance to the day centre, but will require planning and includes the loss of two car parking spaces. This Option is the optimum in terms of creating usable space for the requirements of the day care centre



PROPOSED | OPTION 1 GROUND FLOOR

New space indicated in yellow.  
Access will be gained through the  
current disabled toilets at first floor  
as shown on existing plans. The  
disabled bathroom will be relocated  
to the existing location of the male  
bathrooms at first floor. This option  
will result in the loss of one cubicle in  
the male bathrooms. The total area  
achieved is approximately 38sqm/  
409sqft

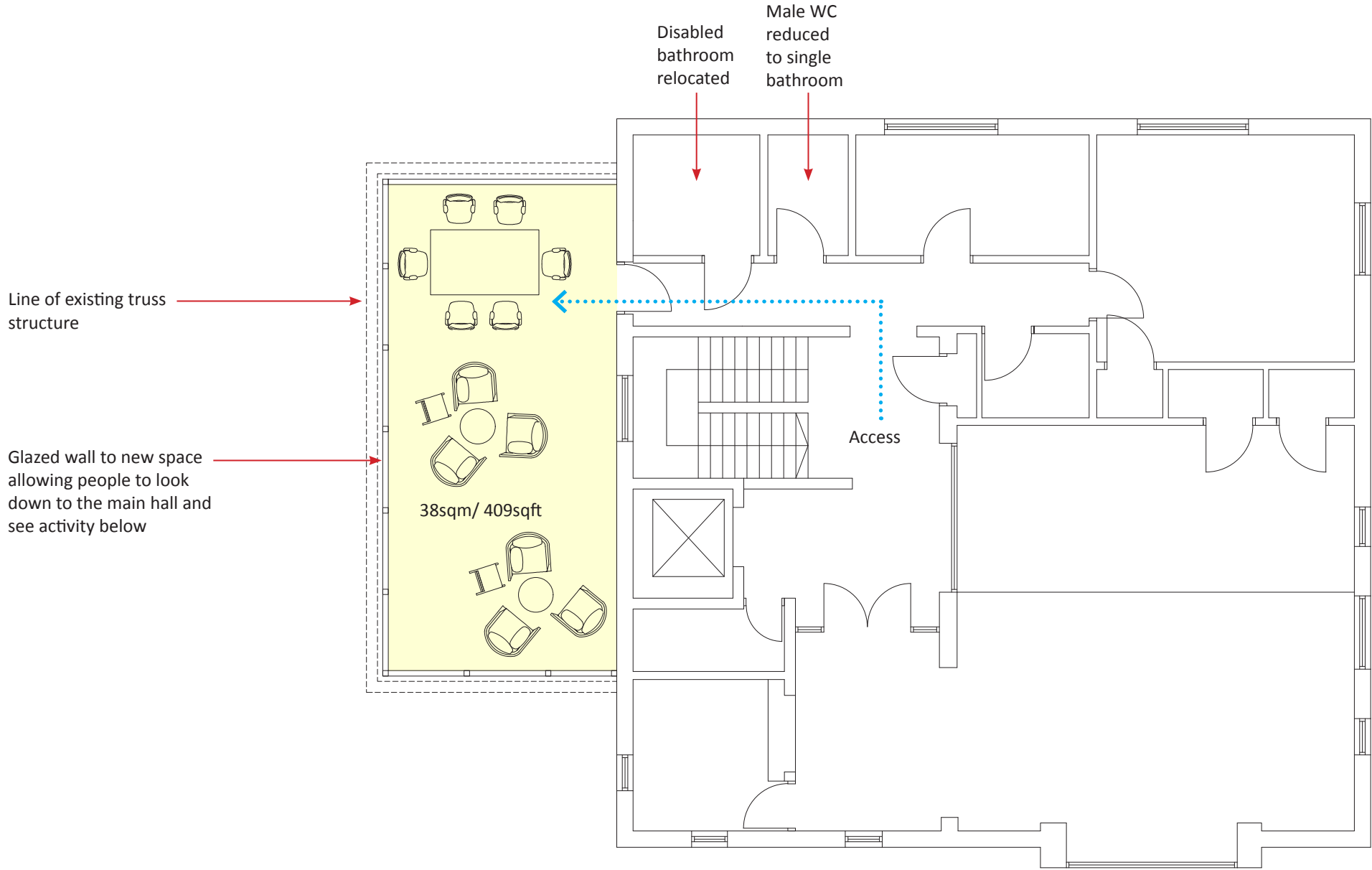


Line of Floor above

Space below will now be  
single height

Column supporting Floor  
above may be required

New entrance with 2  
automatic sliding doors to  
provide buffer form wind  
and cold

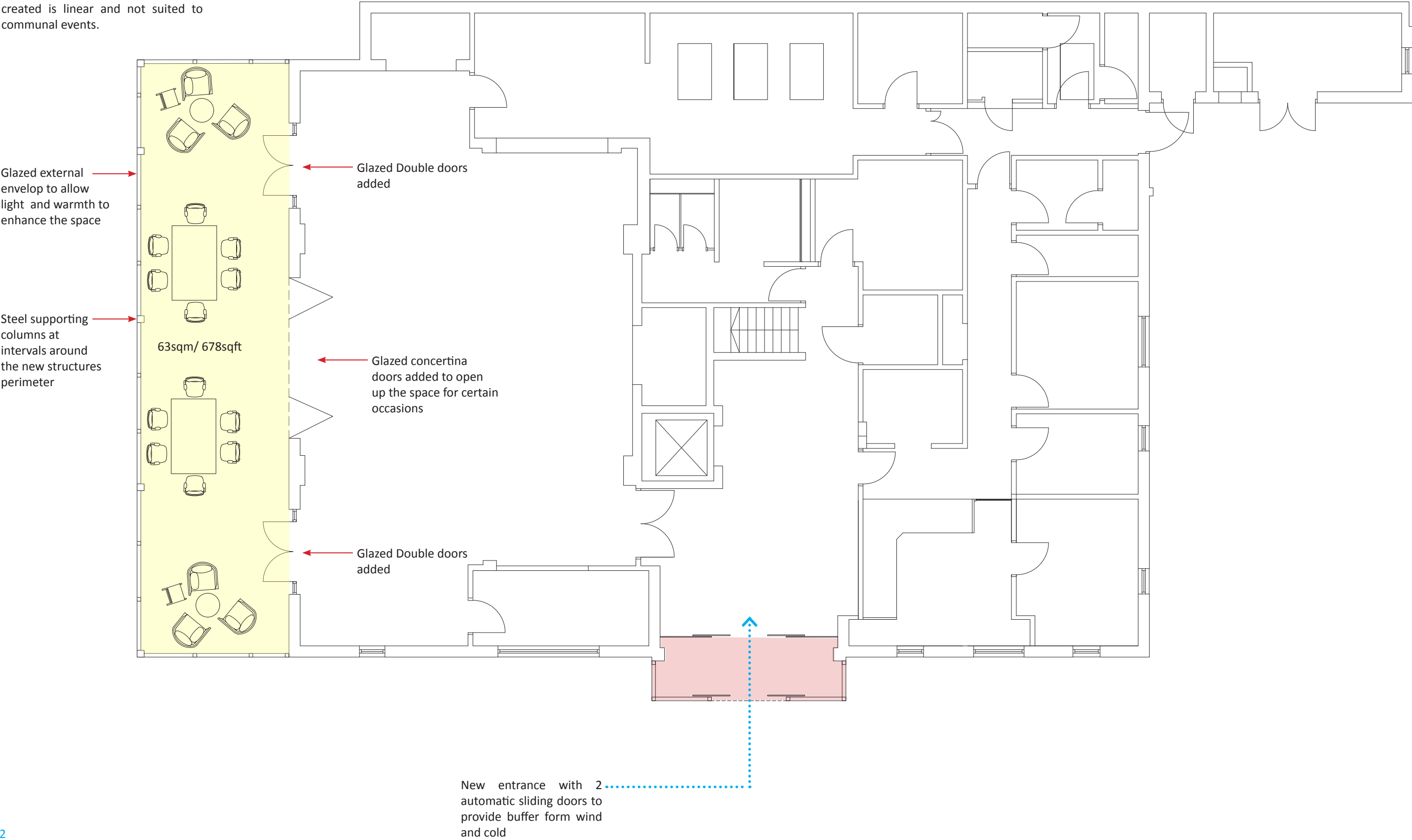


PROPOSED | OPTION 2 GROUND FLOOR

Option 2 pushes out to the east of the existing building on the ground floor. It is a lightweight conservatory type structure with a solid roof to prevent overheating. It achieves 63sqm/678sqft. However the space created is linear and not suited to communal events.

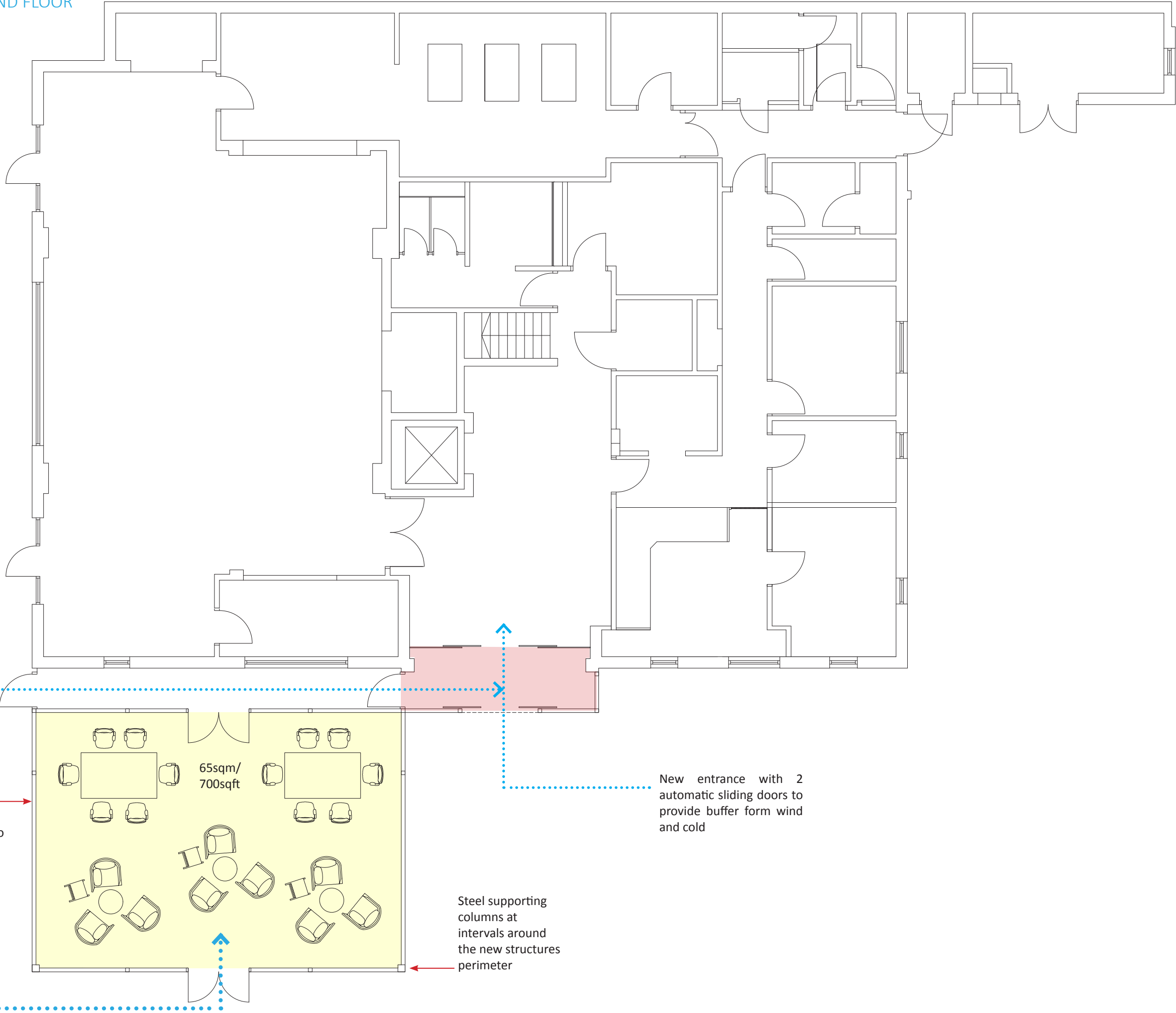


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PROPOSED | OPTION 3 GROUND FLOOR

Option 3 is a smaller lightweight structure that extends out to the North of the existing building. It is a lightweight structure made of steel and glass. It will have a solid roof to avoid overheating, that ties back into the existing eaves and maintains a similar language to the care centres domestic apex style of roof. The area works out at approximately 65sqm/700sqft. This option may be more usable for functions as noisy activities can be kept separate from the main building.



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