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Date: 07 October 2024

## Notice of meeting

### Corporate Policy and Resources Committee

**Date:** Tuesday, 15 October 2024

**Time:** 7.00 pm

**Place:** Council Chamber, Council Offices, Knowle Green, Staines-upon-Thames TW18 1XB

#### To the members of the Corporate Policy and Resources Committee

Councillors:

J.R. Sexton (Chair)

C. Bateson (Vice-Chair)

M. Beecher

M. Bing Dong

J.R. Boughtflower

J. Button

S.M. Doran

R.V. Geach

M. Gibson

K.M. Grant

K. Howkins

M.J. Lee

S.C. Mooney

L. E. Nichols

O. Rybinski

H.R.D. Williams

Substitute Members: Councillors M.M. Attewell, S.N. Beatty, D.C. Clarke, J.T.F. Doran, A. Gale and K.E. Rutherford

*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 and Substitutes**

To receive apologies for absence and notification of substitutions.

**2. Minutes**

**5 - 30**

To confirm the minutes of the meeting held on 09 September 2024 as a correct record.

**3. Disclosures of Interest**

To receive any disclosures of interest from councillors in accordance with the Council's Code of Conduct for members aside from the standing declarations from the members that are also Surrey County Councillors.

**4. Questions from members of the Public**

The Chair, or their nominee, to answer any questions raised by members of the public in accordance with Standing Order 40.

At the time of publication of this agenda no questions were received.

**5. Reflections Water Feature**

**31 - 36**

The Committee is asked to make a decision on the reflections water feature.

**6. Key Performance Indicators 2023/24**

**37 - 66**

The Committee is asked to note the Key Performance Indicators that are reported on an annual basis to the Corporate Policy & Resources Committee.

**7. Safeguarding Children and Adults at Risk Policy 2024-2028**

**67 - 104**

The Committee is asked to:

1. Approve the Safeguarding Children and Adults at Risk Policy 2024-2028; and
2. Approve to delegate authority to the Strategic Safeguarding Lead in consultation with the Chair of the Community Wellbeing and Housing Committee to approve minor amendments and updates to the Policy.

**8. 2023-24 Reserves Outturn Report**

**105 - 114**

The Committee is asked to note the 2023-24 Reserves Outturn Report.

**9. Change to Treasury Management Strategy – Proposed Draw Down of Pooled Funds** **115 - 128**

The Committee is asked to approve the amendment to Treasury Management Strategy for 2024/25 as set out in the report.

**10. Spelthorne Financial Services Partnership** **129 - 152**

The Committee is asked to:

1. Approve the creation of a Joint Finance Partnership between Mole Valley and Spelthorne Borough Council,
2. Approve the Heads of Terms (HoTs) for an intra-authority agreement between the two Councils as set out at Appendix 2 and delegate authority to the Council's Section 151 Officer and Monitoring Officer to finalise all necessary legal arrangements and agreements to implement the partnership in line with the HoTs,
3. Approve the creation of a Joint Partnership Board and its terms of reference as outlined in Appendix 3 to provide the scrutiny and governance function for the partnership,
4. Approve the staff structure for the partnership outlined at Appendix 4, subject to consultation and to delegate authority to the Section 151 officer to approve any amendments to the structure following consultation; and
5. Approve the partnership budget outlined in Appendix 5.

**11. Appointment of Charity Trustees - Ashford Sick or Needy**

Report to follow

**12. Corporate Risk Management** **153 - 208**

**13. Forward Plan** **209 - 216**

To consider the Forward Plan for committee business.

**14. Urgent Actions** **217 - 218**

To note those urgent actions which have been taken by the Chief Executive in consultation with the Leader since the last Corporate Policy and Resources meeting on 09 September 2024.

**15. Exclusion of Public & Press (Exempt Business)**

To move the exclusion of the Press/Public for the following items, 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.

**16. Housing Options Document Management System 219 - 232**

The Committee is asked to recommend to Council that they approve an in-year Capital bid for an Electronic Document Management System for Housing Options .

**17. Procurement of a New Website 233 - 238**

The Committee is asked to consider the procurement of a new website.

**18. Corporate Policy and Resources Chair's Updates**

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**Minutes of the Corporate Policy and Resources Committee  
9 September 2024**

**Present:**

Councillor J.R. Sexton (Chair)  
Councillor C. Bateson (Vice-Chair)

Councillors:

M. Beecher	R.V. Geach	S.C. Mooney
M. Bing Dong	M. Gibson	L. E. Nichols
J.R. Boughtflower	K.M. Grant	O. Rybinski
S.M. Doran	M.J. Lee	H.R.D. Williams

**Substitutions:** Councillors S.N. Beatty  
A. Gale

**97/24 Apologies and Substitutes**

Apologies were received from Councillors Beecher, Button and Howkins.

Councillor Gale attended the meeting as substitute for Councillor Beecher and Councillor Beatty attended the meeting as substitute for Councillor Button.

**98/24 Minutes**

The minutes of the meeting held on 08 July 2024 were agreed as a correct record of proceedings.

**99/24 Disclosures of Interest**

Councillors Mooney and Sexton advised that they were also Surrey County Councillors.

**100/24 Questions from members of the Public**

In accordance with Standing Order 40, four questions were received from members of the public.

**Question 1 from Margaret Geraci, Director of Thames Edge Management Ltd**

“ The five-storey height of Thames Edge Court was agreed with the Council to be broadly in keeping with the appearance of the riverfront and the scale of the cinema building it replaced. Does the Committee agree that the apparently proposed maximum height of 30 metres for the new hotel under consideration for the Bridge Street Carpark site in the Conservation Area, almost twice the height of Thames Edge Court and just 20 short metres across the road from it, is wholly inappropriate and unacceptable?”

**Response from the Leader, Councillor Sexton**

“The building envelope is a mechanism within the lease agreement which sets out the maximum height the building can be allowing for the provision of any Mechanical and Electrical Plant that may need to be sited on the roof i.e. any plant sited on the roof must also not exceed 30m from ground floor level. The permitted envelope does not necessarily mean a building the height and width of the building envelope will be constructed.

The committee report being considered tonight is to approve a conditional lease transaction only in the form of an agreement for lease, not the building design, height or mass. If the committee deem it appropriate to consent to the lease transaction, the developer must then commence detailed building design, which will be subject to planning determination.

Specific concerns about the suitability of the scheme will be determined by the Council as Local Planning Authority. As is usual practice for all planning applications, any future planning application on the Bridge Street/Hanover House site, will be assessed against all the relevant legislation, policies and guidance in place at the time (both national and local), including the Staines Conservation Area designation. A full application will be required, and it should be noted that within conservation areas there is a legislative requirement for an application to demonstrate that it preserves and/or enhances the character and/or appearance of a conservation area. The applicant will be expected to demonstrate this with documentary evidence, and this will be assessed critically the Local Planning Authority.

Any application will be subject to assessment against the Design Code (and the appropriate weight will be applied to that Design Code depending on how far it is through the adoption process)”.

**Question 2 from Nigel Rowe, nominated contact for the Riverside Residents (Staines) coalition**



“Findings of the Royal Holloway research present a serious challenge to the further development of Staines, not only on groundwater flooding generally but as a potential source of increased flooding risk for existing residents from new large developments. Even the Council’s consultants said in July that the proposed Bridge Street development is “*unlikely to be able to be managed to ensure the development would be safe for its lifetime without increasing flood risk elsewhere.*” Will the Council therefore insist there is a contractual guarantee from the developer that the proposed development will not increase flood risk for nearby properties?”

**Response from the Leader, Councillor Sexton**

“This Committee is being asked to consider granting approval for an agreement for lease only. If approved, the agreement for lease will condition the grant of the actual lease and ability for the developer to commence any work, on the developer being in receipt of a planning approval for their proposed scheme.

Flooding matters form part of the planning considerations, which can only be determined by the Local Planning Authority in terms of 1) impact and 2) suitability of any flood risk attenuation proposed as part of the new development.

It would therefore not be appropriate for the Council to include flooding conditions in isolation as part of the criteria that has to be met prior to the actual lease being granted and works being able to commence.

Due to the wider considerations about suitability of the site for development, the grant of a planning approval is the correct mechanism to ensure 1) all criteria are considered and 2) determine whether development proposals are appropriate.

It is key to split the two transactions (lease and planning) in terms of approvals. The decision taken in respect of the Agreement for lease in essence says the Council as Landowner is content for the developer to see if they can design a scheme that is acceptable to the Local Planning authority. Only at this stage with the certainty that the scheme is suitable will the Council as Landowner agree for the developer to redevelop then operate the site as a 4\* hotel”.

**Question 3 from Kath Sanders**

“The Q1 Capital Monitoring Report indicates a "current cumulative budget" of £140,337,000 and a "Manager's Projected Outturn at 31 March 2025" of £141,194,008. This includes £64,290,000 for Thameside House in each case. However, I can't see a line for Thameside House in the Budget approved on 22nd February 2024. Where can the "Revised Budget" of £140,337,000 be found?”

### **Response from the Deputy Leader, Councillor Bateson**

“Due to a misunderstanding a major item – Thameside House – was included in the Programme which should not have been included. We apologise for the confusion this has caused. A revised report was issued as an addendum on Friday 6th September removing this item from the Capital Programme provision. The new current cumulative budget total is £76,047k, and the revised Forecast Outturn against this total is £76,904k, leaving the projected outturn uncharged at £857k”.

### **Question 3 from Kath Sanders**

“It is acknowledged that some projects totalling £2,989,500 were approved for removal from the 2024/25 Capital Programme at the Council meeting on 18th July 2024. However, please can you explain and provide a reconciliation showing how the cumulative capital programme budget has moved from £96,989,026 (as of 31st March 2024) to £140,337,000 (as at 30th June 2024), showing all the projects which have been added and which projects have dropped out, along with a rationale for each”.

### **Response from the Deputy Leader, Councillor Bateson**

“Due to a misunderstanding a major item – Thameside House – was included in the Programme which should not have been included. A revised report was issued as an addendum on Friday 6th September removing this item. The new current cumulative budget total is £76,047,000. The cumulative Capital Programme budget of £96,989,026 (as of 31st March 2024) was increased by £20,197,574 by budgets approved by Council on 22nd February 2024 in 2024/25 as new growth (excluding programme lines suspended or removed), then reduced by £41,139,600 for 2023/24 budgets no longer applicable in 2024/25 (use of 2023/24 and earlier budgets, plus capital schemes suspended or removed). This gives the 2024/25 cumulative budget of £76,047,000. For more detail we will provide to a members of this committee a full written analysis of the changes”.

### **101/24 Annual Complaints Performance 2023-2024**

The Committee considered a report that sought to provide information on complaints received in 2023-2024, what complaint stage they were taken to, outcome of upheld complaints and learning points.

The Committee queried how the Local Government and Social Care Ombudsman operated in relation to complaints received. The Group Head of Commissioning and Transformation advised that she would circulate the requested information to all members of the committee.

Committee **resolved** to approve the report.

### **102/24 Housing Complaints Performance and Self-Assessment against Housing Ombudsman Complaint Handling Code**

The Committee considered a report on housing complaints performance and self-assessment against the Housing Ombudsman Complaint Handling Code.

The Committee voted on whether to appoint an individual councillor to undertake the role of Member Responsible for Complaints or a committee.

For an Individual Member – 7  
For a committee – 7

As there was an equality of votes, the Leader, as Chair of the Committee, used her statutory power to give a casting vote to agree that a committee be appointed Members Responsible for Complaints.

It was further agreed that the most appropriate committee to take on this responsibility was the Community Wellbeing and Housing Committee.

Committee **resolved** to:

1. Receive and respond to the annual report on Metropolitan Thames Valley Housing's complaint handling performance and learning from complaints, in relation to complaints from residents of Harper House and White House,
2. Approve the self-assessment of Metropolitan Thames Valley Housing's Complaints Policy against the Complaint Handling Code, for submission to the Housing Ombudsman Service; and
3. Appoint the Community Wellbeing & Housing Committee to fulfil the role of Members Responsible for Complaints.

The Committee agreed that the following response to the Annual Report on Metropolitan Thames Valley Housing's complaint handling performance would be issued:

"This is a positive report which shows that Metropolitan Thames Valley Housing (MVTH) has a sound complaint handling policy in place and is complying with the requirements set out by the Housing Ombudsman.

The performance report shows two complaints were received about Harper House during the period 2023/24. Both complaints were upheld by MTVH and improvements implemented by the Council as a result of the feedback. No complaints were received in relation to the White House. There were no findings of non-compliance with the code and no reports received from the Ombudsman regarding their handling of complaints on behalf of the Council.

The annual self-assessment against the Housing Ombudsman Complaint Handling Code confirms MTVH's compliance with the recently updated Code".

### **103/24 Solar Canopies Over 'Eclipse' Leisure Centre Car Park**

The Committee considered a report that sought approval for a tender process to be undertaken in order for officers to obtain market solutions and actual costings for the proposed project.

Committee **resolved** to:

1. Authorise a tender process to procure market solutions for the solar canopy carpark project; and
2. Note that the Sustainability Team and Assets Team will report the outcome of the tender process to this Committee with detailed proposals

### **104/24 New Artificial Intelligence Policy**

The Committee considered a report that sought approval of the new Artificial Intelligence (AI) Policy.

Members wanted it highlighted to users that it would be their personal responsibility to ensure that they used AI in a responsible and ethical way. It was agreed that having a policy would protect the user, the Council and the Borough residents from the potential risks associated with the use of AI.

The Committee asked if training could be provided for members, that wanted it, on what AI is and how it can be used for work undertaken by the Council.

Committee **resolved** to approve the draft of the new Artificial Intelligence Policy.

### **105/24 Bus Shelter Maintenance**

The Committee considered a report that sought approval for the Council to enter into a new contract with Clear Channel who are currently responsible for the maintenance of the bus shelters within the Borough.

The Group Head of Neighbourhood Services advised the committee that the current contract with Clear Channel had no financial cost to the Council as they kept the advertising revenue from the bus shelters. She advised that she had now negotiated a revised contract that would give the Council a percentage return of the advertising revenue. This could result in an estimated revenue circa £22,500 to £37,550 per annum for the Council.

The Committee queried whether the direct award to Clear Channel was appropriate and legal. The Council's Interim Monitoring Officer advised that it was both.

The Leader of the Council and Chair of the Committee, Councillor Sexton put forward a motion to agree Option 2 as outlined in the report.

The motion received no seconder therefore it FELL.

Committee **resolved** to:

1. Agree a direct award contract with Clear Channel to maintain the bus shelters in the Borough. This equates to Clear channel spending £90k p.a. in Spelthorne; and
2. Authorise the Group Head corporate Governance to enter a contract for a period of 3 years with a 2 year extension option (3+2) and any ancillary documentation with Clear Channel.

The meeting was adjourned at 20.43

The meeting resumed at 20.55

## **106/24 Q1 Capital Monitoring Report**

The Committee were advised that a revised report and appendices were issued as addendums because the original reports had been amended.

The Committee requested that they be kept informed as to the how current projects were progressing and the Deputy Chief Executive advised that a new dashboard was being worked on that would provide more detailed information to all members.

The overspend figure was queried and the Joint Financial Services Manager was asked to provide a summary of how the overspent had occurred.

Proposed by Councillor Bateson

Seconded by Councillor Gibson

And **resolved** that the meeting go into a closed session for councillors to be able to discuss exempt information contained in Appendix B.

The Committee meeting returned to an open session once the exempt information had been discussed.

Committee **resolved** to note the Capital Programme forecast overspend of £857k for schemes under way or scheduled to commence in 2024-25 or 2025-26 as at 30 June 2024.

### **107/24 Q1 Revenue Monitoring Report**

The Committee considered the Q1 Revenue Monitoring Report that sought to advise the Committee of the forecast overspend of £857k for schemes under way or scheduled to commence in 2024-25 or 2025-26 as at 30 June 2024.

The Committee were advised that on the net Budget of £8.6m for 2024-25 agreed by Council it was expected that there would be a £23k outturn overspend (0.3% variance). Within the £23k there was a £3.1 million under achievement on the investment property top up budget due to rent top up being credited early in 2023/24, despite originally being budgeted in 2024/25 (this had previously been flagged to the Committee in the Revenue Outturn Report for 2023-24) and a £3.2 million over achievement of income forecast on National Non-Domestic Rates net retention in part based on independent advice from LF Futures.

The Committee queried how the £3.2 million over achievement figure had occurred and asked how far this credit went back, what we expected it to be going forward and how was this money to be applied to the budget in the future.

The Chair requested that a response be provided by email to all committee members.

The Committee queried the increased service charges costs for Stockley Park and why this was not anticipated and included in the budget for 2024-25. The Property Asset Manager advised that the refurbishment of the reception area within Stockley Park had now been completed and therefore was fully operational. The Committee were advised that the Service Charge year ran from January to December so the forecast figure would not have been available at the time the budgets were set. The Group Head of Assets advised that a review of the budget was currently being undertaken to see how these costs could be reduced.

Proposed by Councillor Bateson  
Seconded by Councillor Gibson

Committee **resolved** to note the forecast overspend of £23,000 for 2024-25 as at 30 June 2024.

Councillor Nichols requested that it be noted on the minutes that he would abstain from noting this report.

### **108/24 Corporate Risk Management**

Committee **resolved** to consider the significant strategic risks and issues highlighted in the report, ensuring continued wider reporting of the Corporate Risk Register and actions across other committees.

### **109/24 Forward Plan**

The Committee **resolved** to note the contents of the Forward Plan.

### **110/24 Urgent Actions**

The Committee were advised that one urgent action had been taken since the last meeting of the committee on 08 July 2024 as follows:

On 05 September 2024 a settlement agreement with the current Leisure Centre operator SLM in relation to Spelthorne Leisure Centre and Sunbury Leisure Centre was agreed. This settlement agreement had to be in place no later than by the end of the previous week to meet a business imperative related to the Leisure Centre project.

### **111/24 5 Swimmers Statue**

The Committee considered a report that sought agreement for the Council to enter into a long term art loan agreement for the 5 Swimmers Statue.

The Committee were advised that a number of relocation sites had been considered and it was felt that the proposed site at the Eden Grove Development would provide the best protection from vandalism for the statue and would still be accessible to all members of the public.

The art loan would be with Berkeley Homes for a minimum of 10 years, after which the Council would be able to take back the statue if they so wished but would be required to give Berkeley Homes eighteen months notice.

The Chief Executive advised the Committee that a Quick Response (QR) Code is to be put on the statue so that members of the public would be able to read the history of the statue and why it is so important to the Borough. The public would be advised as to where the statue had been relocated to once in situ to ensure that as many residents as possible had the opportunity to see it.

The Committee were advised that a valuation figure had been provided in the report and that it would be insured before being placed in the Eden Grove Development.

Committee **resolved** to authorise the Group Head of Corporate Governance to enter into a long term art loan agreement for the 5 Swimmers Statue with Berkeley Homes (or such other appropriate form of agreement as shall be agreed with Berkeley Homes).

Councillors Boughtflower and Mooney requested that it be noted in the minutes that they did not agree with this decision.

## **112/24 Waterfront Development Agreement**

The Committee considered a report that sought approval to make a recommendation to Council in respect of the proposed Heads of Terms to enable the Council to enter into an Agreement of Lease with the proposed tenant for the Waterfront Site, Bridge Street, Staines-upon-Thames.

The Committee were advised that there were no proposals to sell the land and that the Council would retain the freehold and therefore would have control over any development on the site. Officers and councillors had been working with the proposed tenant and a revised demise envelope had been considered that would reduce the height of any development from 30 metres down to 25 metres. Any changes to the aforementioned 25 metres would have to be brought back to the Committee to gain approval. If they were to build above 25 metres without agreement, they would be in breach of agreement and the Council would not grant them a lease.

The Committee was keen that the local residents' concerns were taken into account and were advised that a public consultation would take place.

Proposed by Councillor Bateson  
Seconded by Councillor Williams

And **resolved** to enter into a closed session to discuss exempt information provided in the report.

The meeting went back into an open session once the exempt information had been discussed.

Committee **resolved** to recommend to Council that it:

1. Approve the Heads of Terms for the Council to enter into an Agreement of Lease with the proposed tenant for the Waterfront Site, Bridge Street, Staines-upon-Thames to facilitate the delivery of a new hotel led regeneration on this prime riverside site,
2. Delegate authority to the Chief Finance Officer in consultation with the Leader to agree any minor variations to the Heads of Terms and the final terms of the Agreement for Lease subject to valuation advice received,
3. Delegate authority to the Group Head of Corporate Governance, in consultation with the Leader, to finalise and enter into the Agreement of Lease and any other associated documentation in connection with the grant of the Lease to the proposed tenant; and
4. Note the Local Government Act S.123 'Best Value' valuation undertaken by Cushman and Wakefield in respect of the proposed terms of this transaction.



**113/24 Exclusion of Public & Press (Exempt Business)**

It was proposed by Councillor Bateson and seconded by Councillor Williams and **resolved** to exclude the public and press be excluded for the following agenda item, in accordance with paragraph 4 of part 1 of Schedule 12A of the Local Government Act 1972 (as amended) because it was likely to disclose information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority.

**114/24 Commercial Property Insurance Renewal**

The Committee considered a report that sought approval for the award of the Commercial Real Estate Insurance Contract, the Engineering Insurance Policy and Engineering Inspection Policy.

The Committee **resolved** to agree the recommendations as outlined in the exempt report.

**115/24 Corporate Policy and Resources Chair's Updates**

There were no updates from the Chair.

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# Corporate Policy and Resources Committee



Tuesday 15 October 2024

<b>Title</b>	<i>Reflections water feature</i>
<b>Purpose of the report</b>	To make a decision
<b>Report Author</b>	<i>Jackie Taylor Group Head Neighbourhood Services</i>
<b>Ward(s) Affected</b>	All Wards
<b>Exempt</b>	No
<b>Exemption Reason</b>	<i>Not applicable</i>
<b>Corporate Priority</b>	Community
<b>Recommendations</b>	<p><b>Committee is asked to:</b></p> <p><b>Agree one of the four options listed at point three within this report under the heading of “options analysis.”</b></p> <p><b>Delegate authority to Group Head Corporate Governance to agree the terms and enter necessary documentation should members agree to move forward with Option 2.</b></p>
<b>Reason for Recommendation</b>	<p><i>The Reflections water feature which forms an extension to the Staines War Memorial is not operational due to the plant room being flooded. A potential business sponsor has indicated that his company is willing to repair and then maintain the feature for at least the next three years at no cost to the Council.</i></p> <p><i>Councillors are asked to decide on the future maintenance of the Reflections water feature which is in market square Staines-upon Thames.</i></p>

## 1. Summary of the report

What is the situation	Why we want to do something
<ul style="list-style-type: none"> <li>The Reflections water feature provides an additional feature to the War Memorial in market square Staines-upon-Thames. The water tables in this area are extremely high due to its proximity to the River Thames. The plant room that runs the feature is underground and suffered from flooding in 2020, since then it has not been in operation.</li> </ul>	<ul style="list-style-type: none"> <li>A business sponsor has come forward offering to carry out repairs and finance ongoing maintenance on the feature at no cost to the Council. The Council needs to decide if this is an appropriate course of action. This offer is for a minimum of three years.</li> </ul>

This is what we want to do about it	These are the next steps
<ul style="list-style-type: none"> <li>This report will provide the detail to members allowing them to make a fully informed decision on whether to allow the feature to be managed by an external sponsor with no cost to the Council.</li> </ul>	<ul style="list-style-type: none"> <li>Detailed information on the status of the feature is provided within this report for members to decide on the future of the water feature.</li> </ul>

1.1 This report seeks to provide information on the sponsorship offered by a Spelthorne property owner. The owner has offered to carry out repairs and pay for ongoing maintenance for at least the next three years on the Reflections water feature which is situated within market square Staines-upon-Thames.

## 2. Key issues

2.1 The water feature has been in a non-operational state since flooding occurred resulting in a significant rise of water in the River Thames. This rise in water levels flooded the underground plant room of the water feature.

2.2 The water feature until this time had been managed and maintained via an external contractor by the Building Services team within Assets.

2.3 Due to the high repair and maintenance costs and the Council's challenging budget situation the feature has not been repaired and subsequently does not work as a water feature.

2.4 A company who owns land adjacent to market square and near the water feature have offered to sponsor the repairs & ongoing maintenance for at least the next three years with no cost to the Council.

2.5 Councillors are asked to consider the contents of this report and decide if this is an appropriate way to manage this feature.

2.6 The table below provides further details of the work and costs associated with the repair and future yearly maintenance of the feature.

<b>Estimated repair costs</b>	<b>Plant room &amp; water feature repairs</b>
£16,000	Pumping out and cleaning the plant room Replace the glass reinforced plastic (GRP) tank. Clean & service pumps/float valves etc. Associated electrical works
£5000-£10,000	Repairs to surface and edging blocks Repair leaks between blocks
<b>£21,000 to £26,000</b>	<b>Total estimated repair costs</b>
<b>Annual maintenance costs</b>	<b>Plant room &amp; water feature maintenance schedule</b>

£18,000	Maintenance to check plant room equipment and chemical dosing system, weekly. Water sampling checked against safety standards, weekly. Additional water samples for analysis to check for legionella and general water quality. Annual estimated cost of chemicals for the dosing system included.
£4000	This budget should be set aside for potential electrical issues, replacement pumps
£unknown	Electricity costs to run the water feature.
<b>£22,000 plus electricity</b>	<b>Total estimated annual maintenance costs</b>



- 2.7 It should be noted that timers are installed which control the feature and can be set to turn on and off at any time. A temperature sensor was installed to protect the feature against freezing. Once the temperature drops below three degrees the feature automatically switches off. This will then restart when the temperature rises depending on the on/off timer.
- 2.8 The electric meter to run the feature is located further into Memorial Gardens and is above ground. The meter covers the whole Memorial Gardens site including the Towpath lighting and electrical sockets, the reflections is included within this meter as is the lighting in Riverside car park.

2.9 A check meter could be installed at an additional cost to separate out the running costs. If, however, a main meter was required this would have to involve the electricity supplier and involve costs outside of our control.

### **3. Options analysis and proposal**

#### **3.1 Option 1**

The water feature has not been operational since 2020 and to our knowledge there has been little or no communication from members of the public in relation to this. On this basis the feature could remain as a feature with no running water and at no cost to anyone.

#### **3.2 Option 2**

A local business sponsor has offered to carry out repairs and maintenance at no cost to the Council for a minimum of three years, after the three years a break clause of 6 months would be in the overall agreement to repair & maintain. This would create the need for a formal agreement to be made between parties on the regularity and type of maintenance which would meet the Council's requirements. A licence to carry out repairs and maintenance would also need to be agreed by both parties before any work could be undertaken.

#### **3.3 Option3**

The Council could seek its own funding for the repair and maintenance of the feature. It is highly likely that under this option other budgeted items for 24/25 and beyond would have to be put on hold as the funding would need to be diverted away from other projects to get the feature repaired and maintained.

#### **3.4 Option 4**

The Council could arrange for the water feature element of the War Memorial to be removed, and the ground made good. This work would have additional costs that the Council has not budgeted for in 24/25.

### **4. Financial management comments**

4.1 The Building Services team looked at flood prevention measures following the floods in 2014, but at the time were unable to find a solution. This was partly due to the drainage system that serves the area, and the nature of the feature which recycles water from its surface area. This means that heavy rain further exacerbates the plant room flooding.

4.2 In 2014 the electrical installation previously located below ground in the plant rooms, was brought above ground and will reduce ongoing repair costs significantly.

4.3 Under "normal" circumstances, the plantroom could withstand flooding for short (1-2 months) periods with minimal repairs (circa £2,000 - £3,000 plus VAT). The pumps are submersible and short periods of being underwater will have little effect, so generally after a flood the plant room would need a pump out and clean with a few minor electrical repairs.

4.4 However, as the plant room was submerged for a prolonged period this has affected the pumps and filters which will need to be replaced.

- 4.5 **Option 1** has no cost as the water feature has been switched off since 2020, it does not work and has no maintenance costs.
- 4.6 **Option 2** has no cost to the Council save for legal costs in negotiating and preparing the necessary documentation.
- 4.7 **Option 3** identifies estimated costs of £26,000 for the repairs to be undertaken and ongoing yearly costs of £22,000 for the maintenance.
- 4.8 **Option 4** it is difficult to estimate these costs due to the status of what is underneath the reflections water feature but as an indication there is the potential for this to be estimated at more than £20,000.

## 5. Risk management comments.

- 5.1 There is a risk that even if repaired and put back into working order the underground plant room could again become flooded for a prolonged period. If this were the case the repair costs would fall to the sponsor as part of their agreement to repair & maintain for a period of at least three years.
- 5.2 There is negligible risk with **Option 1** as there are no costs associated with the feature being left as is.
- 5.3 There is a risk that if the Council decide to proceed with **Option 2** whereby a sponsor pays all costs for repair and maintenance that this could reflect negatively on the Council and how it maintains its assets. There is also the risk that the sponsor would end its sponsorship at short notice. If this were the case this could be mitigated by leaving the water feature again switched off permanently thereby removing any ongoing maintenance costs.
- 5.4 There is also the risk that official documented and signed terms between the Council and the sponsor may not be agreed and the sponsor decides not to move forward with repairs or maintenance to the water feature. In this scenario the feature would remain in its non-operational state.
- 5.5 The additional risk with this option is that there is no capacity within the Building Maintenance budget to take on another £30k of costs. It should be noted that if the sponsor terminates the repair and maintenance agreement at any time the Reflections will be switched off permanently.
- 5.6 It should also be noted that if the plant room floods post repair the sponsor will be required to fund the new repairs, this financial responsibility will not sit with the Council. If this funding is not forthcoming by the sponsor the Reflection water feature will be switched off permanently.
- 5.7 The risk for **Option 3** is that the Councillors would have to identify what projects did not proceed in the 24/25 budget to allow this work to be undertaken mid-term.
- 5.8 The War Memorial originally sat in the Memorial Gardens but was moved here in 2002 as part of the town redevelopment scheme. Market square is public highway managed by Surrey County Council. There is a risk that the County Council may not give permission for the Reflections water feature to be removed in its entirety if **Option 4** was decided by Councillors as the way forward.

## 6. Procurement comments

03.10.24 Version 5

6.1 At this stage there are no procurement considerations, if however, Councillors agree **Option 3 or 4** a fully compliant procurement exercise would be undertaken to ensure best value was sought before considering any of these works.

## **7. Legal comments**

7.1 Legal Services ([g.legal@spelthorne.gov.uk](mailto:g.legal@spelthorne.gov.uk)) will provide advice and assistance on the preparation of the required documentation, as necessary.

7.2 If the water feature is to be fully operational as a water feature, responsibility for controlling Legionella shall be passed onto the business sponsor or will rest with the Council (as the case may be).

7.3 In the event that the selected option necessitates works on public highway, consent from Surrey County Council as the highway authority will need to be obtained prior to starting the works.

## **8. Other considerations**

8.1 To avoid any potential complications with VAT the Council will not permit advertising of sponsorship for the reflections water feature. The sponsor has also confirmed that he does not think it appropriate to advertise sponsorship on a war memorial.

## **9. Equality and Diversity**

9.1 This Council considers equality, and diversity impacts in its decisions. No issues have been identified that need consideration within this report.

## **10. Sustainability/Climate Change Implications**

10.1 The water feature depends on the supply of both water and electricity as well as regular scheduled site visits for maintenance and treatment of the water, thus increasing the Council's carbon footprint (both via electricity required and fuel costs for transport to site) and the need to use chemicals in the treatment of water.

## **11. Timetable for implementation.**

11.1 The timetable for implementation will be dependent on the option and way forward agreed by Councillors of this committee.

## **12. Contact**

12.1 Jackie Taylor  
Group Head Neighbourhood Services  
01784 446411

**Please submit any material questions to the Committee Chair and Officer  
Contact by two days in advance of the meeting.**

**Background papers: There are none.**

**Appendices: There are none**



# Corporate Policy and Resources Committee



Date of meeting 15 October 2024

<b>Title</b>	Key Performance Indicators
<b>Purpose of the report</b>	To note
<b>Report Author</b>	Sandy Muirhead Group Head Commissioning and Transformation
<b>Ward(s) Affected</b>	All Wards
<b>Exempt</b>	No
<b>Exemption Reason</b>	
<b>Corporate Priority</b>	Services
<b>Recommendations</b>	<b>Committee is asked to:</b> Note the Key Performance Indicators (KPIs) to be reported on an annual basis to CPRC.
<b>Reason for Recommendation</b>	Monitoring performance via KPIs ensures service delivery is meeting expectations.

## 1. Summary of the report

What is the situation	Why we want to do something
<ul style="list-style-type: none"> <li>Across the Council services have key performance indicators which enable them to benchmark year on year or quarter by quarter depending on the KPI to assess how the service is performing.</li> </ul>	<ul style="list-style-type: none"> <li>To ensure transparency in activities and performance</li> <li>To demonstrate successful delivery of services</li> </ul>
This is what we want to do about it	These are the next steps
<ul style="list-style-type: none"> <li>Need to ensure KPIs are reported across the organisation to demonstrate services performance and opportunities for improvement. Key KPIs are also reported quarterly across Surrey</li> <li>To enable better presentation and monitoring of KPIs a dashboard has been</li> </ul>	<ul style="list-style-type: none"> <li>To continue to monitor KPIs in appropriate timelines</li> <li>To finalise a digital performance dashboard building on current annual and quarterly reporting</li> </ul>

in development which will also link to service plans.	
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- 1.1 This report seeks to inform this Committee of the Key Performance Indicators (KPIs) reported within the Council to monitor service delivery.
- 1.2 KPIs are critical indicators of progress towards intended outcomes and help provide a focus for delivering strategic and operational improvements in the Council. The 23/24 figures for the majority of KPIs clearly demonstrates delivery in services. The performance targets and outcomes complement the staff and resident's survey's and substantiates the outcomes of the surveys.
- 1.3 The Key Performance Indicators currently recorded are listed in the attached Appendices. Services use them to ensure they are on track in terms of delivery on their service plans and operational success.

## **2. Key issues**

- 2.1 Key Performance Indicators across services have been monitored in the Council on a quarterly or annual basis (Appendix 1) resulting in a final annual summary. The annual resulting KPIs or not in achieving the KPI have been colour coded to provide guidance on whether they have been achieved or not.
- 2.2 The exception to "internal" Council monitoring is for a suite (Appendix 2) of indicators reported quarterly across Surrey to the Surrey Chief Executives meeting.
- 2.3 Appendices 3 and 4 list the investment and asset KPIs used to monitor the relevant portfolios which are reported via Commercial Assets Sub Committee and Business Infrastructure and Growth Committee.
- 2.4 In Appendix 2 which provide figures across Surrey, there are some concerns that KPIs for sickness and waste do not reflect a true picture. On sickness one or two long term absences can skew the figures and although attempts have made to harmonise the method of reporting these figures across Surrey but there are still some reporting inconsistencies between authorities.
- 2.5 Additionally, the Council have an in-house Depot where staff cannot work if sick, yet a good number of authorities do not record figures associated with this area as they have outsourced those functions. The short-term figures are good in comparison to others, but there are a number of long-term sick staff.
- 2.6 The low turnover of staff as compared to a number of other authorities is indicative of "content" staff as further evidenced by the staff survey. The staff survey undertaken by the LGA identified us as the best authority against the relevant markers for the last 12 years.
- 2.7 The planning team have performed exceptionally well for a long while against government targets. The government is also investing more in planning services, and an increase in fees will help ensure the right level of resource can be secured to help maintain turnaround times.
- 2.8 The amount of rubbish (non-recyclable waste) collected is offset against the recyclable waste when calculating the recycling rate. As a borough the Council collects proportionally more non-recyclable waste than most of our

other comparable councils and this is not always related directly to bin collections. Although there is a higher proportion of flats and shared accommodation properties than most other Surrey councils, these types of accommodation have been shown to produce more rubbish and less recycling than individual houses. The garden waste collection service is significantly smaller than many other Surrey authorities; houses tend to have smaller gardens and as a result generate less green recyclable waste. The higher proportion of flats also impacts the potential number of subscribers to this service too. The Council runs a thorough and effective street cleaning programme in Spelthorne, the waste collected from this is also offset against recycling which would further contribute to a lower overall recycling rate.

- 2.9 The housing benefit team is performing well in relation to other Surrey authorities with change of circumstances applications processed on average within 1.6 days and new claims assessed within 18 days.
- 2.10 Borough Council has the second highest number of residents across Surrey in temporary accommodation. This is related to several reasons including developments not being implemented, lack of affordable accommodation due to the proximity to London, viability squeezing schemes and limiting what can be justified at the planning stage, together with the Council moving away from direct development and Registered Social Landlords (RSL's) not wanting to develop or take on s106 affordable housing secured as part of a planning permission.
- 2.11 The fact that no new affordable homes were completed in the year demonstrates the whole issue and directly correlates to the Council being the second highest in terms of numbers in temporary accommodation
- 2.12 Although businesses are impacted by cost pressures related to the cost-of-living crisis the business rate outturn was better than target. Whereas the council tax figure was 1% below target but we were aware of the difficulties some residents had in paying and we put in place payment plans to assist them e.g. paying over 12 months instead of 10.
- 2.13 Spelthorne has reported on its KPIs for many years internally and externally including those reported to Surrey Chief Executives.
- 2.14 In addition, however, to improve the reporting mechanisms for Councillors and residents the project team are developing a digital performance dashboard. The dashboard development will make it easier for staff to complete and monitor KPIs and it will link to annual service plans. Completion is expected in Q4 24/25.

### **3. Options analysis and proposal**

- 3.1 Option 1 To note the KPIs in Appendices and to make comments with respect to any areas of focus for improvements.

### **4. Financial management comments**

- 4.1 None for this report

### **5. Risk management comments**

- 5.1 Extenuating circumstances can mean key performance indicators are not achieved and this will vary with the service concerned. For example, the cost-of-living increases may impact Council Tax collection rates.

5.2 There is a risk that if Government changes to planning rules are implemented (for example removing time extensions that can currently be agreed with a developer to allow time for negotiations) statistics on performance may well drop. This situation will apply nationally. The team is actively looking at this to try and ensure their high performance is not reduced due to a functional change.

**6. Procurement comments**

6.1 The report covers KPIs for services and there are no procurement requirements.

**7. Legal comments**

7.1 There are no specific legal comments in relation to this report.

**8. Other considerations**

8.1 None

**9. Equality and Diversity**

9.1 A service should take account of any equality and diversity issues that impact on delivery of services and therefore on KPIs.

**10. Sustainability/Climate Change Implications**

10.1 All services need to build climate change actions within their service activities, and it is anticipated that further KPIs will be put in place for climate change as the programme of work grows and learning from other organisations can be used in identifying further relevant KPIs beyond measurement of annual greenhouse gas emissions by the Council.

**11. Timetable for implementation**

11.1 KPIs will be reported annually to Corporate Policy and Resources and

**12. Contact**

12.1 Sandy Muirhead Group Head Commissioning and Transformation.  
01784446318

**Please submit any material questions to the Committee Chair and Officer Contact by two days in advance of the meeting.**

**Background papers:, There are none.**

**Appendices:**

- . Appendix 1 Annual summary of Key Performance Indicators 23/24 Spelthorne Borough council
- Appendix 2 Surrey District and Borough Performance Indicator Benchmarking
- Appendix 3 Investment KPIs
- Appendix 4 Assets KPIs

Appendix 1	2023 / 2024	Annual Performance Indicators										
PI No.	SCC reported stat	Service	Committee	Indicator	Target	Time period to achieve target	Q1	Q2	Q3	Q4	Yr end total / average	Comments
1		Accountancy	CPRC	% of undisputed invoices paid within 30 days	90%	Monthly	95.65%	97.15%	99.12%	99.39%	97.82%	
2		Accountancy	CPRC	% of undisputed invoices paid within 10 days	60%	Monthly	50.85%	57.72%	65.02%	63.42%	59.25%	Target exceeded except Q1
3		Accountancy	CPRC	Average number of days taken for an invoice to be paid	14 days	Monthly	10.93 days	9.80 days	6.48 days	8.09 days	8.8	Invoices paid well within 14 day timeline
4		Building Control	CPRC	% of full plans applications dealt with within 8 weeks	100%	Annually	100%	100%	100%	100%	100%	
5	Y	Customer Services	CPRC	Council Tax collection rates	98.50%	Financial year	35.88%	57.87%	86.00%	97.50%	97.50%	Note annual figure is built up cumulatively across quarters. Cost of living increase impacted collection so 1% below target
6	Y	Customer Services	CPRC	National Non Domestic collection rates (NDDR)	98.80%	Financial year	33.74%	60.15%	87.70%	99.07%	99.07%	As above High achievement despite cost of living crisis.
7		Customer Services	CPRC	Sundry Debt Collection Rates	90.00%	Financial year	55.00%	84.54%	78.24%	90.09%	90.09%	
8		Customer Services	CPRC	Reduce % of calls lost to 5%	5% by March 2024	Financial year	3.6	2.8	2.10%	3.00%	2.87%	Well below target figure demonstrating effectiveness of team
9		Customer Services	CPRC	To reply to complaints within 7 working days	7 working days	Monthly	100%	100.00%	100%	90%	97.50%	Dip in Q4 due to staff sickness otherwise all complaints Q1 to 3 responded to within 7 day timelines
10		Customer Services	CPRC	Increase relative to previous year in	1% on previous	12 months	6%	22%	251% increase	154% increase	97.25%	Significant take up on direct debit in last

				take-up of Direct Debit (DDs) for both Council tax and business rates	years figures				compared to Q3 2022	compared to Q4 2023		two quarters of 23/24 compared to 22/23 due to greater promotion of DDs
11		Customer Services	CPRC	Increase in electronic payments (e-billing)	3% on previous years figures	12 months	-1.5% compared to Q1 2022	3.53% compared to Q2 2022	2.65% compared to Q2 2022	5% compared to Q4 2022		With improved customer portal looking to increase further e-billing
12		Elections	CPRC	Annual calculation of the % of households registered compared to total number of households where people are eligible to vote	97%	Annually					94.0%	Available 1 December each year in this case Dec 23 and slightly down on target.
13	Y	Environmental Health	Community and Wellbeing	Ratio of food businesses with food hygiene rating scores of 3-5 compared to those scoring 0-2 demonstrated as % 3-5 against 0-2	92%	Annually	96%	97%	97%	97%	97%	
14		Environmental Health	Community and Wellbeing	% of food businesses with food hygiene rating scores of 0-1 ( <b>this is a decreasing target</b> )	4%	Annually	2.00%	1.50%	1.50%	1.50%	1.62%	% of businesses with a food hygiene score of 0-1 is reducing.
15		Environmental Health	Community and Wellbeing	Customer satisfaction surveys of officers' interventions – satisfied vs. dissatisfied (areas: food, H&S, housing, general service requests including nuisance, licensing activities [animal welfare, HMO licensing, PPC, gambling, premises, taxi])	90% satisfaction rate	Annually	94%	95%	94%	Not available	94%	

16	Y	Housing Benefits	Community and Wellbeing	Processing of Housing Benefit/Council Tax Benefit claims	30 Days	Annually	16.42 days	19.75 days	18.28 days	17.98 days	18.10 days	This is effective and efficient response within the 30 days
17	Y	Housing Benefits	Community and Wellbeing	Time taken to assess change in circumstances for Housing Benefit claims	10 days	Annually	2.19 days	2.27days	3.13 days	1.64 days	2.30 days	This is one of the best results in Surrey
18		Housing Options	Community and Wellbeing	Number of households prevented from being homeless		Annually	57	69	61	58	245	<i>Due to the hard work of team this is a good figure Definitive targets for KPIs 18,19 and 20 are not possible as cannot predict numbers likely to have to be dealt with.</i>
19		Housing Options	Community and Wellbeing	Numbers of homelessness acceptances (i.e. number households where a full rehousing duty has been accepted by the council) Shows volume of new households requiring rehousing due to homelessness.		Annually	17	12	14	38	81	This is due to the effectiveness of homeless prevention outlined in point 18
20	Y	Housing Options	Community and Wellbeing	No. of households living in temporary accommodation	No target as depends on need and requests	Quarterly	138	170	151	173	158	Number of all households in temporary accommodation at the end of the quarter. These are households in accommodation arranged by local authorities pending enquiries or after being accepted as homeless under the 1996 Act and as amended by the HRA 2018.

21		Housing Options	Community and Wellbeing	Number of <b>duty accepted cases</b> in temporary accommodation	100	Annually	67	67	56	90		This is directly related to quantity of permanent accommodation available and need
23	Y	Human Resources	CPRC	Staff sickness absence – all sickness		Annually	10.76 days	11	9.32 days	14.3 days	<b>11.34</b>	Figures reported but no target as cannot predict but figures are monitored and staff sickness managed via absence procedures
24	Y	Human Resources	CPRC	Staff sickness absence – short term		Annually	2.99 days	2.9	2.48 days	3.03 days	<b>2.85</b>	As above
25	Y	Human Resources	CPRC	Staff turnover	10%	Annually	14.7%	13.41%	10.92%	10.03%	<b>12.3%</b>	Measures in place on recruitment and retention to minimise turnover
26		ICT	CPRC	Helpdesk calls closed within 24 hours	60% closed within 24 hours	Quarterly	65.63%	55.52%	68.77%	82.99%	<b>68.22%</b>	
27		Independent Living	Community and Wellbeing	Increase number of meals delivered	2% increase	Annually	-2.10%	+9.02%	-1%	-3%		Total of 3218 more meals delivered in 23/24 than 22/23 - + 7.49% overall
28		Independent Living	Community and Wellbeing	Percentage of customers with home alarms systems installed to receive an annual follow up call/visit	96%	Annually	98%	97%	98%	97%		Achieved target
29		Independent Living	Community and Wellbeing	Increase numbers participating in activities at the Centre	2% increase	Annually	-20%	23.90%	7.20%	-11.02%	<b>+0.02</b>	Total of 2270 more activities in 23/24 than 22/23 - + 6.72% overall
30		Independent Living	Community and Wellbeing	Approve grant applications within 4 months of fully submitted applications	100%	Annually	100% within 4 months	100% within 4 months	100% within 4 months	100% within 4 months	<b>100%</b>	
31		Land Charges	CPRC	Turnaround time for all searches – within three days or better	100%	Monthly	100%	100%	100%	100%	<b>100%</b>	



32		Leisure	Community and Wellbeing	Build up to the target of pre COVID-19 annual Leisure Centre attendance figures	Sunbury 341,595	Annually	87,340	87,053	77,420	86,183 (Sunbury)	337,996	the Sunbury LC total attendance figure for the year is 99.0% of the target figure and up 10% on 2022/23 total attendance. (cumulative figure in total column)
33		Leisure	Community and Wellbeing	Build up to the target of pre COVID-19 attendances at leisure activities (including activities, events, meetings, workshops and consultation sessions).	Spelthorne 530,019	Annually	124,589	125,806	114,271	132,875 (Spelthorne)	497,541	The Spelthorne Leisure Centre attendance figures for the year total is 94.0 % of pre-pandemic levels). A reduction in numbers in 23/24 is due to the ongoing building work for the new leisure centre and associated parking disruptions throughout the year. Cumulative figure in total column
34		Leisure	Community and Wellbeing	Build up to run at least 6 leisure activities in our areas of greater deprivation and work in liaison with community groups in these communities to promote these, e.g. Explorer, Walking for Health and Christmas events	6 Leisure activities	Annually	Explorer, 2 x Cycling for health, 6 x Walking for Health	2x Xplorer, 1x cycling for health, 1x walking for health, 5x dance classed, 4x resource centre outreach	1x Xplorer, 1x cycling for health, 6x walking for health, 11 x dance classes Stanwell, 1 x Stanwell School Theatre visit, 4x Sunbury Common Lantern Festival workshops + Event, 7 x Ashford Youth Club Kick start your Creativity session	1x Xplorer, 1x cycling for health, 4x walking for health, 12x dance classes Stanwell, 11x Ashford Youth Club Kick start your Creativity session		It should also be noted that some of the activities delivered in target communities has been funded by the Shared Prosperity funding secured in 2023. This relates to the dance classes in Stanwell, and Ashford Youth Club Kick start your creativity sessions.
35	Y	Planning	Environment and Sustainability	Speed of determining planning applications (majors)	60% in 13 weeks	Annually	100%	100%	100%	100%	100%	

36	Y	Planning	Environment and Sustainability	Speed of determining planning applications (minors)	65% in 8 weeks	Annually	100%	98%	100%	100%	100%	
37	Y	Planning	Environment and Sustainability	Speed of determining planning applications (others)	80% in 8 weeks	Annually	100%	99%	96%	99%	99%	
38	Y	Planning	Environment and Sustainability	Appeals dismissed against the Council's refusal of planning permission	60%	Annually	75%	81.0%	75%	69%	75%	
39	Y	Planning	Environment and Sustainability	Percentage of planning enforcement investigations commenced within time frames	90%		94%	95%	96%	96%	95%	
40		Neighbourhood Services	Environment and Sustainability	Average length of time to remove fly tips	90% within 48 hours	Quarterly	95%	96%	95%	93%	95%	
41		Neighbourhood Services	Environment and Sustainability	% missed refuse bins reported by 2pm and collected by the end of the next working day	95%	Quarterly	93%	97%	96%	95%	95%	
42	Y	Neighbourhood Services	Environment and Sustainability	Recycling rate (received a Quarter behind, from the Surrey CX meeting report)	48%	Annually	45.80%	46.50%	42.40%	42.70%	44.5%	
43		Commissioning and Transformation	Environment and Sustainability	Reduction in CO2 across SBC estate and activities	1189 tonnes CO2 equivalent	Annual					1266t	Due to increased natural gas and fleet fuel usage across the Council seen an increase from the baseline

44		Economic Development	Economic Development	We will ensure that at least 4 businesses will be provided free business coaching advice a week until January 2024	48 sessions per quarter	Quarterly	25	20	18	55	29.5	Staff changes impacted targets in ED
45		Economic Development	Economic Development	We will deliver at least 6 business events over the next 12 months		Quarterly	4	6	4	9	5.75	EC Dev - 6, 2 start up events, 1 business hub
46		Economic Development	Economic Development	During 2023 we will arrange an entrepreneur's event for people interested in setting up a business but do not know where to start		Quarterly	1		1	0	1	

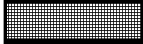


Green Target achieved  
Amber Target marginally missed  
Red target no achieved.

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# **Surrey District and Borough Performance Indicator Benchmarking**

**Quarter 4 - 2023/24**

**Key**

-  Does not provide data as defined by indicator at the present time
-  Does not report this data
-  Unable to provide data this quarter

Further information: Please contact Sarah Hall (Head of Business Planning, Projects and Performance, Runnymede Borough Council) or Andy Higgins (Project Management Officer, RBC)

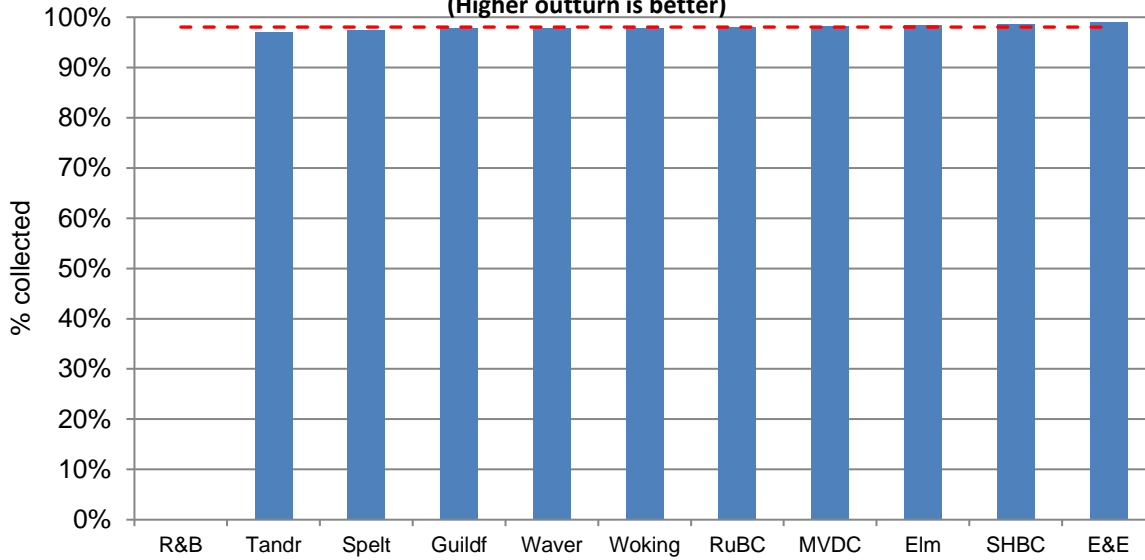
Email: [sarah.hall@runnymede.gov.uk](mailto:sarah.hall@runnymede.gov.uk) or [andy.higgins@runnymede.gov.uk](mailto:andy.higgins@runnymede.gov.uk)

Tel: Sarah - 01932 425691 or Andy - 01932 425699

Report produced: 30 April 2024 - Final v2

### Percentage of council tax collected

(Higher outturn is better)

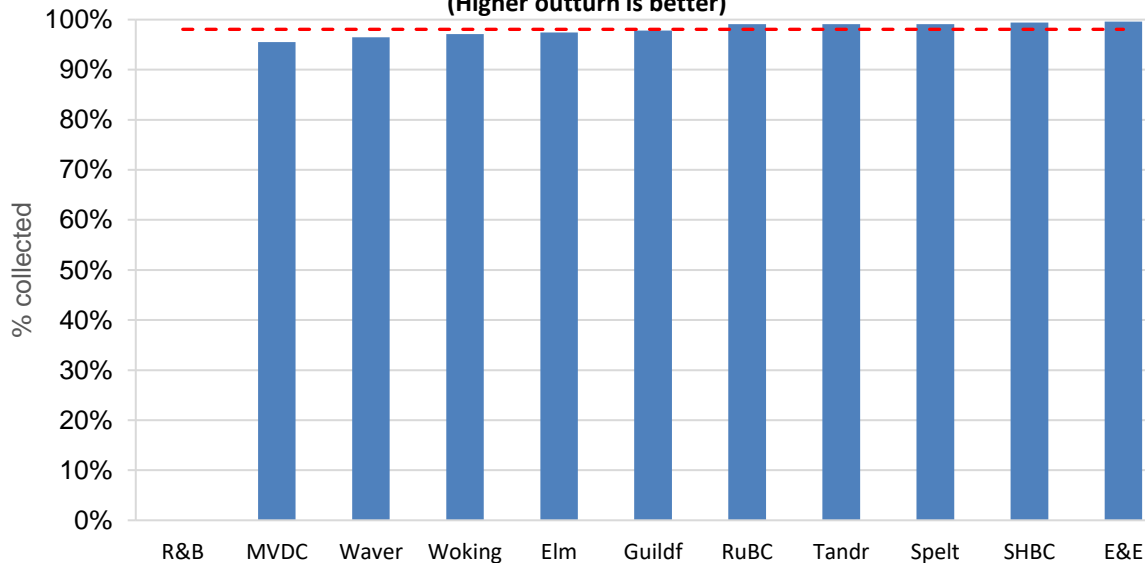


Percentage calculated, as a cumulative year-to-date figure, from the total council tax payments received compared to the total amounts payable in that year.

	Actual	
<b>Elm</b>	98.4%	12 month year as standard
<b>E&amp;E</b>	99.0%	
<b>Guildf</b>	97.8%	10 month year as standard
<b>MVDC</b>	98.3%	10 month year as standard
<b>R&amp;B</b>	98.0%	10 month year as standard
<b>RuBC</b>	98.0%	10 month year as standard
<b>Spelt</b>	97.5%	10 month year as standard
<b>SHBC</b>	98.6%	10 month year as standard
<b>Tandr</b>	97.1%	10 month year as standard
<b>Waver</b>	97.8%	10 month year as standard
<b>Woking</b>	97.9%	
<b>----</b>	98.0%	Average value of returns

### Percentage of non-domestic rates collected

(Higher outturn is better)

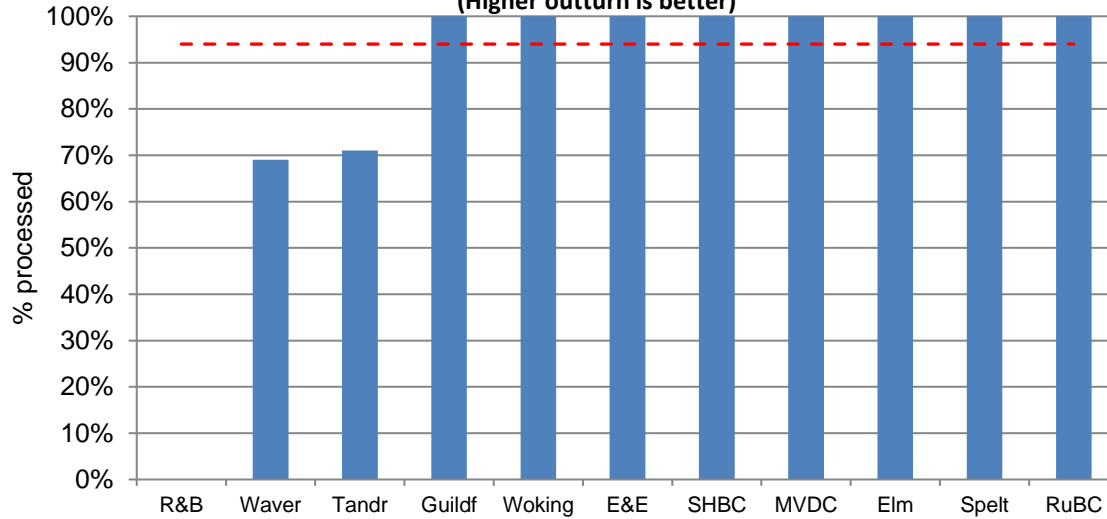


Percentage calculated, as a cumulative year-to-date figure, from the total business rates payments received compared to the total amounts payable in that year.

	Actual	
<b>Elm</b>	97.4%	12 month year as standard
<b>E&amp;E</b>	99.6%	
<b>Guildf</b>	97.8%	10 month year as standard
<b>MVDC</b>	95.5%	10 month year as standard
<b>R&amp;B</b>	98.0%	10 month year as standard
<b>RuBC</b>	99.1%	10 month year as standard
<b>Spelt</b>	99.1%	10 month year as standard
<b>SHBC</b>	99.4%	10 month year as standard
<b>Tandr</b>	99.1%	10 month year as standard
<b>Waver</b>	96.5%	12 month year as standard
<b>Woking</b>	97.1%	
<b>----</b>	98.1%	Average value of returns

### Percentage of decisions on major applications made within 13 weeks

(Higher outturn is better)



Figures for January - March (as per the Combined Development Control (PS1 and PS2) Form) of the percentage of decisions on major applications made within 13 weeks reporting period.

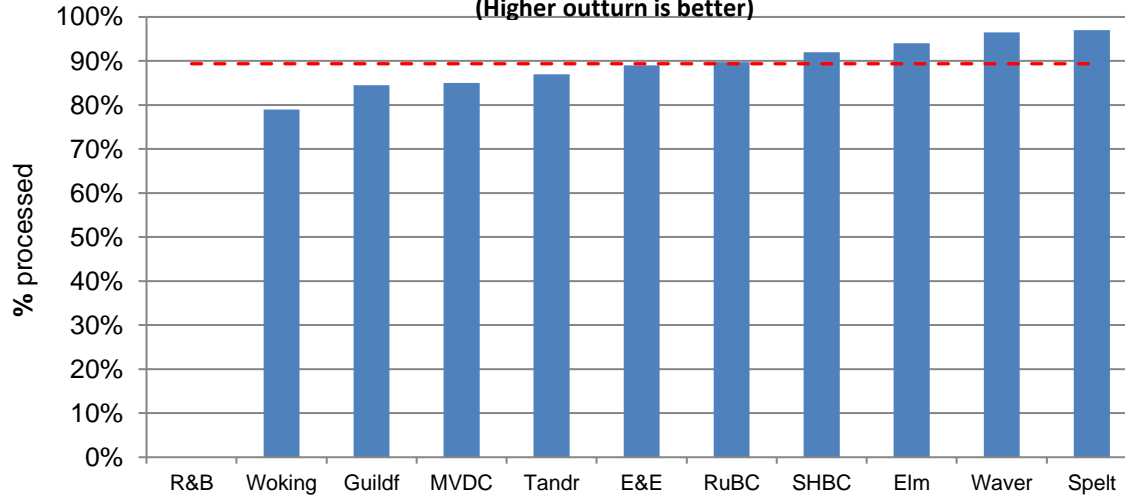
	Actual
Elm	100.0%
E&E	100.0%
Guildf	100.0%
MVDC	100.0%
R&B	
RuBC	100.0%
Spelt	100.0%
SHBC	100.0%
Tandr	71.0%
Waver	69.0%
Woking	100.0%
---	94.0%

or within agreed EoT (extensions of time)

Average value of returns

### Percentage of decisions on minor applications made within 8 weeks

(Higher outturn is better)



Figures for January - March (as per the Combined Development Control (PS1 and PS2) Form) of the percentage of decisions on minor applications made within 13 weeks reporting period.

	Actual
Elm	94.0%
E&E	89.0%
Guildf	84.5%
MVDC	85.0%
R&B	
RuBC	89.7%
Spelt	97.0%
SHBC	92.0%
Tandr	87.0%
Waver	96.5%
Woking	79.0%
---	89.4%

or within agreed EoT (extensions of time)

Average value of returns

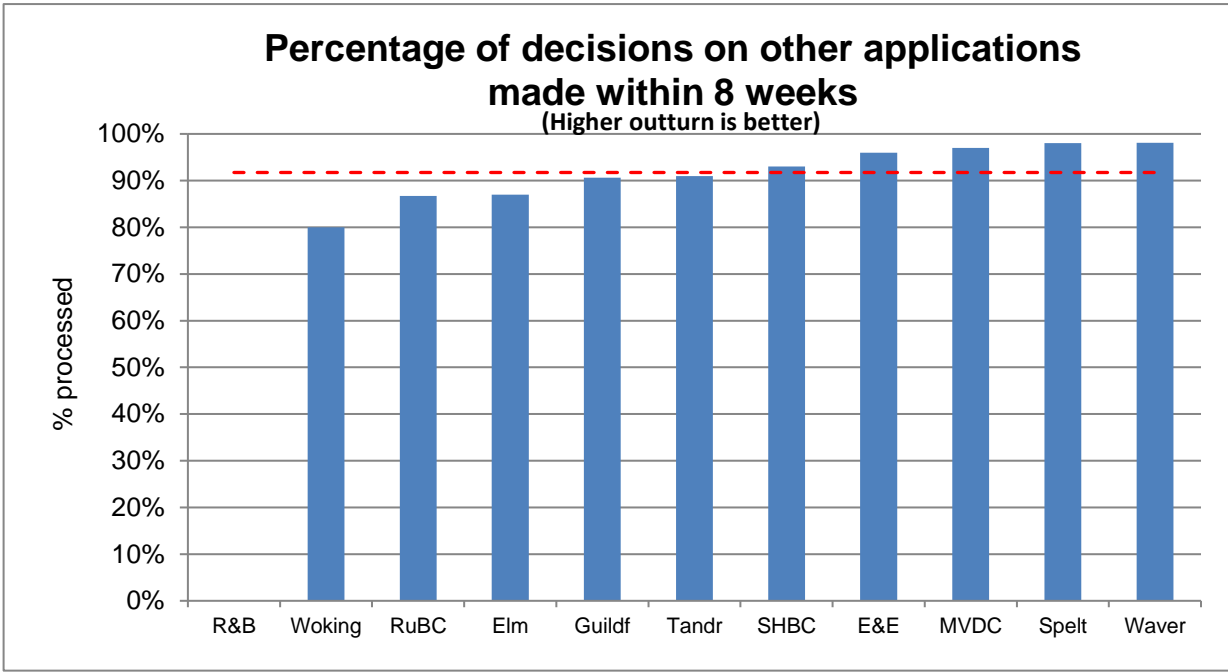
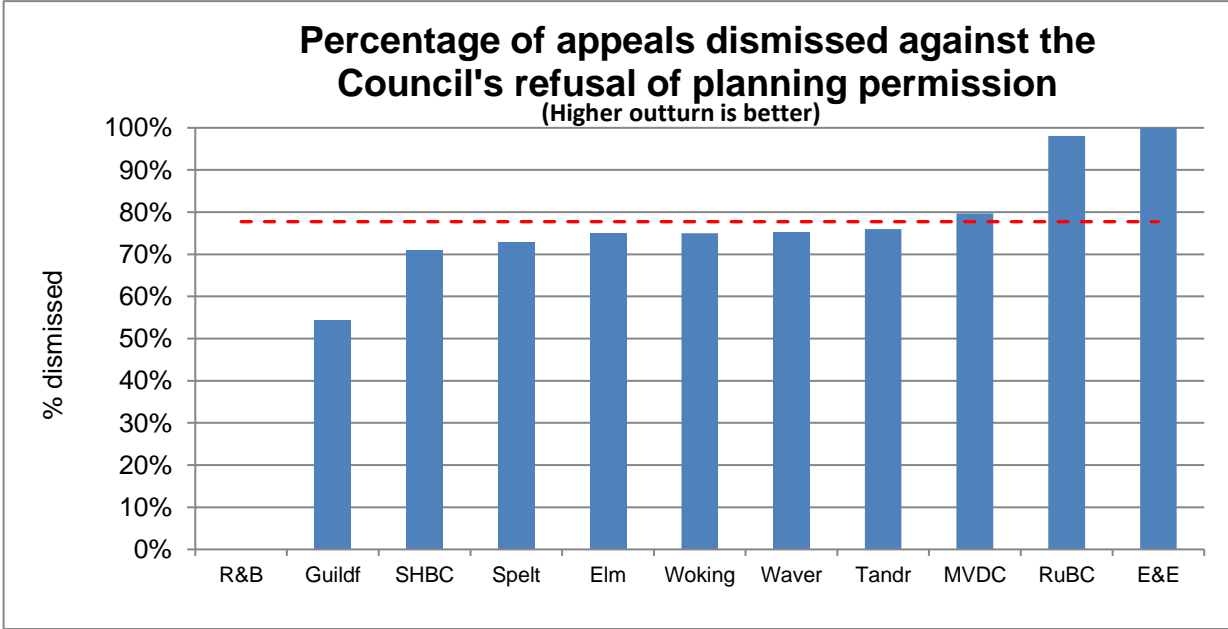


Figure for January - March (as per the Combined Development Control (PS1 and PS2) Form) of the percentage of decisions on other applications made within 13 weeks reporting period.

	Actual
<b>Elm</b>	87.0%
<b>E&amp;E</b>	96.0%
<b>Guildf</b>	90.6%
<b>MVDC</b>	97.0%
<b>R&amp;B</b>	
<b>RuBC</b>	86.7%
<b>Spelt</b>	98.0%
<b>SHBC</b>	93.0%
<b>Tandr</b>	91.0%
<b>Waver</b>	98.1%
<b>Woking</b>	80.0%
<b>-----</b>	91.7%

or within agreed EoT (extensions of time)  
Average value of returns



Percentage of appeals dismissed against the Council's refusal of planning permission, calculated as a cumulative year to date figure.

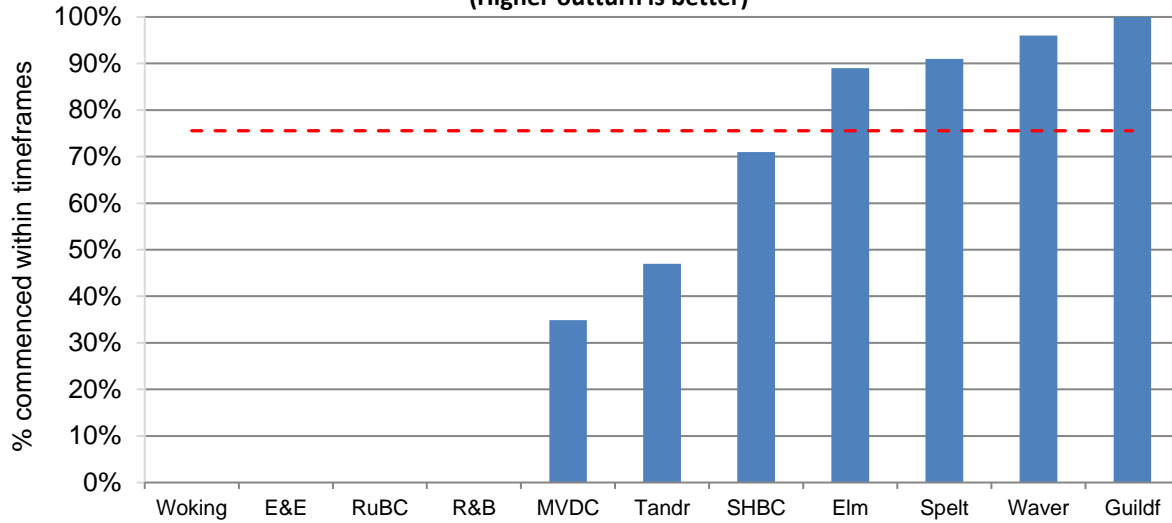
	Actual
<b>Elm</b>	75.0%
<b>E&amp;E</b>	100.0%
<b>Guildf</b>	54.4%
<b>MVDC</b>	79.7%
<b>R&amp;B</b>	
<b>RuBC</b>	98.1%
<b>Spelt</b>	73.0%
<b>SHBC</b>	71.0%
<b>Tandr</b>	76.0%
<b>Waver</b>	75.2%
<b>Woking</b>	75.0%
<b>-----</b>	77.7%

planning appeals dismissed / planning appeals  
planning appeals dismissed / planning appeals  
planning appeals dismissed / planning appeals  
planning appeals dismissed / planning appeals  
planning appeals dismissed / planning application decisions  
planning appeals dismissed / planning appeals  
planning appeals dismissed / planning appeals  
planning appeals dismissed / planning appeals  
planning appeals dismissed / planning appeals  
planning appeals dismissed / planning appeals  
Average value of returns



### Percentage of planning enforcement investigations commenced within timeframes

(Higher outturn is better)



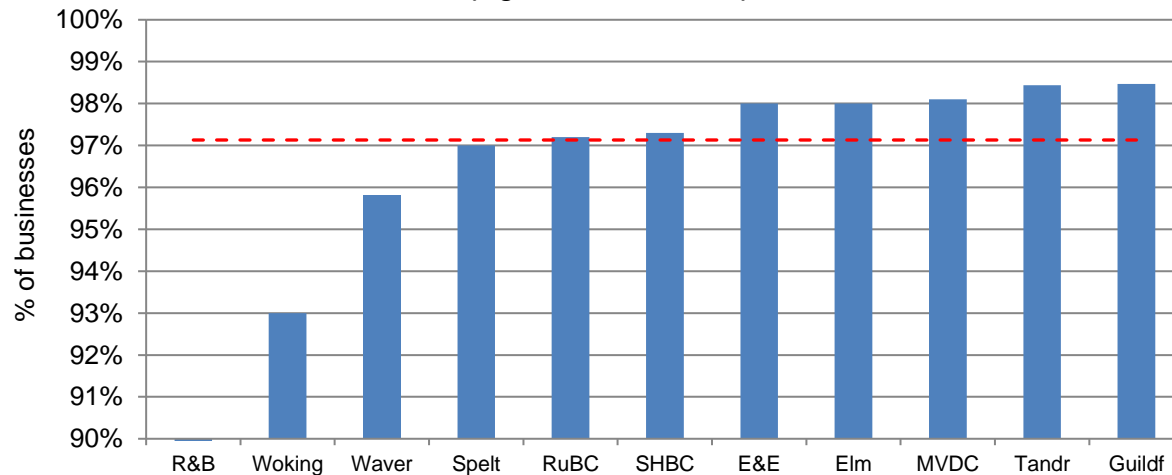
Cumulative year to date figure of the number of planning enforcement investigations commenced within a specified timeframe that accords with each Council's adopted Enforcement Plan Priorities

	Actual
Elm	89.0%
E&E	
Guildf	100.0%
MVDC	34.9%
R&B	
RuBC	
Spelt	91.0%
SHBC	71.0%
Tandr	47.0%
Waver	96.0%
Woking	
-----	75.6%

Average value of returns

### Percentage of food businesses with a 'Scores on the door' of 3 or over

(Higher outturn is better)

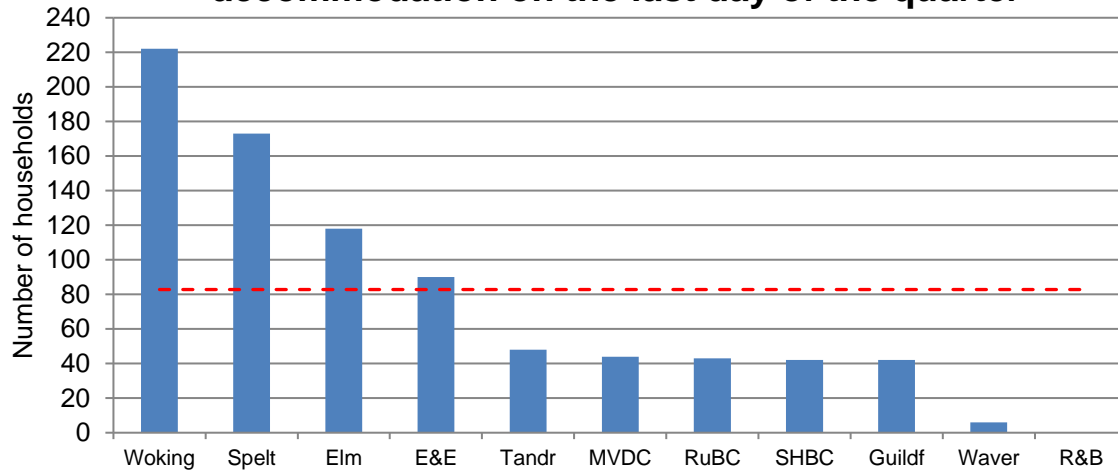


Percentage of establishments with a rating of 3 (generally satisfactory) or better under the Food Hygiene Rating Scheme.

	Actual
Elm	98.0%
E&E	98.0%
Guildf	98.5%
MVDC	98.1%
R&B	
RuBC	97.2%
Spelt	97.0%
SHBC	97.3%
Tandr	98.4%
Waver	95.8%
Woking	93.0%
-----	97.1%

Average value of returns

### Number of households living in temporary accommodation on the last day of the quarter

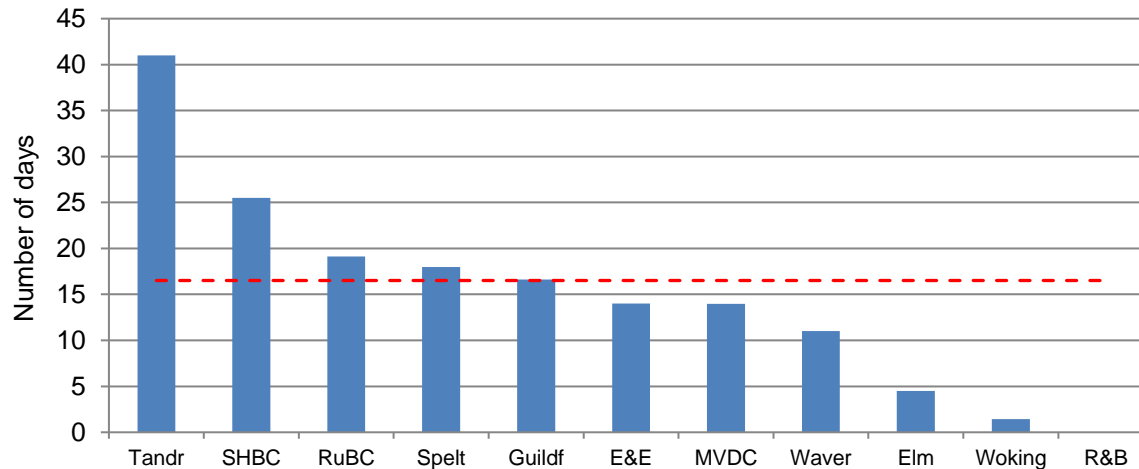


Number of all households in temporary accommodation at the end of the quarter. These are households in accommodation arranged by local authorities pending enquiries or after being accepted as homeless under the 1996 Act and as amended by the HRA 2017.

	Actual
Elm	118
E&E	90
Guildf	42
MVDC	44
R&B	
RuBC	43
Spelt	173
SHBC	42
Tandr	48
Waver	6
Woking	222
----	83

Average value of returns

### Average number of days taken to assess new housing benefit claims (Lower outturn is better)



Cumulative year to date figure of the total number of days taken to process new housing benefit claims divided by the number of new claims.

	Actual
Elm	4.5
E&E	14.0
Guildf	16.6
MVDC	14.0
R&B	
RuBC	19.1
Spelt	18.0
SHBC	25.5
Tandr	41.0
Waver	11.0
Woking	1.4
----	16.5

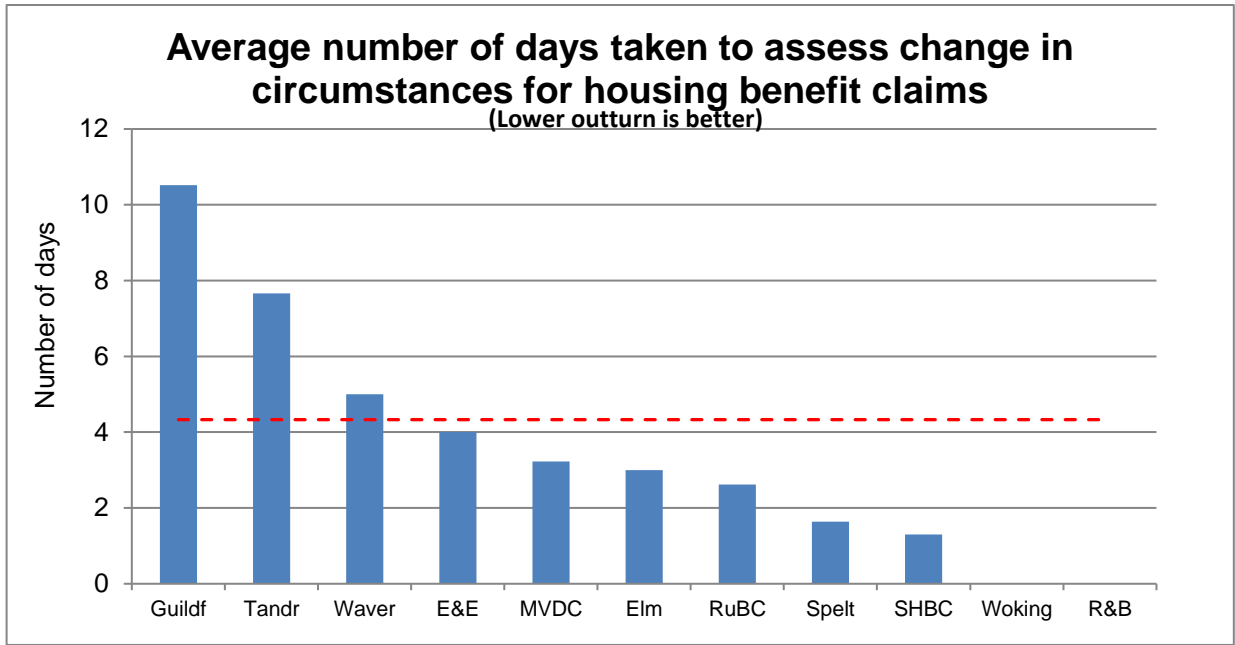
HB & CT benefit

HB & CT benefit

Due to clearance of older cases before EOY

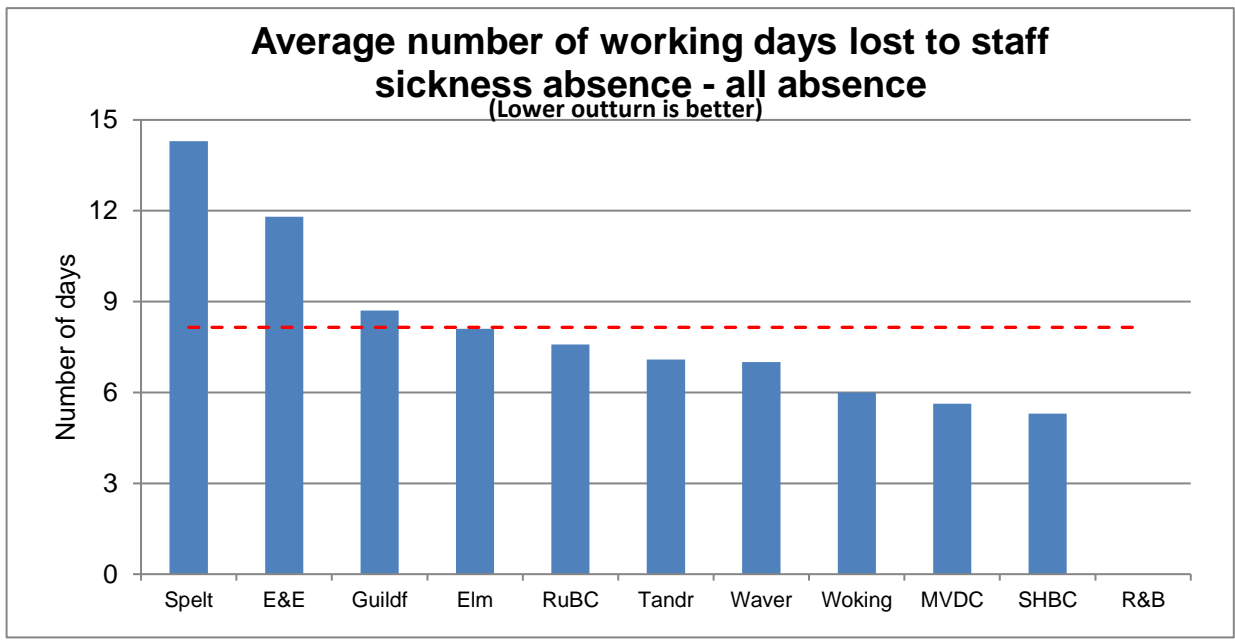
HB & CT benefit

Average value of returns



Cumulative year to date figure of the total number of days taken to assess change in circumstances requests for housing benefit divided by the number of change in circumstances requests.

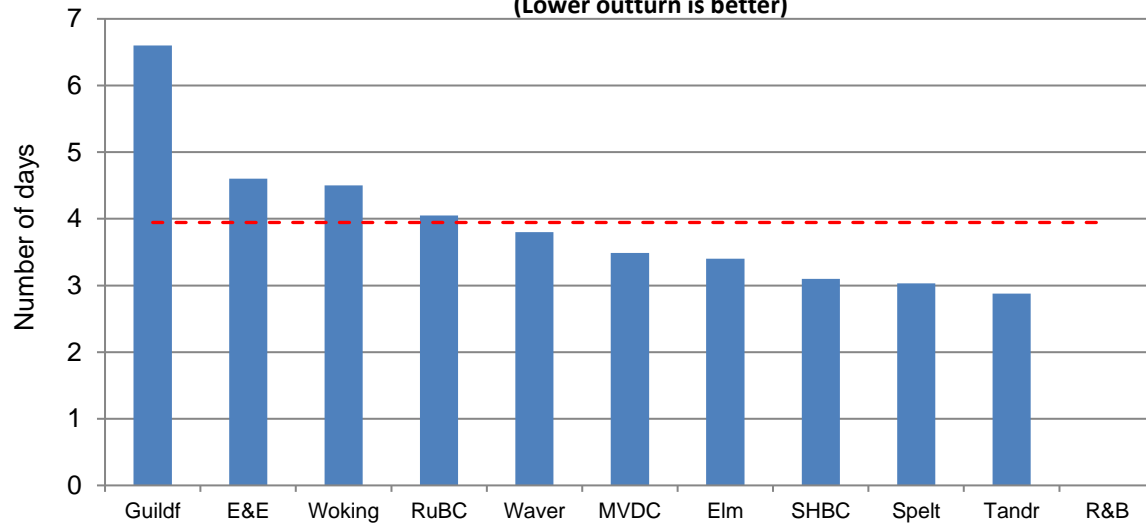
	Actual	
Elm	3.0	HB & CT benefit
E&E	4.0	
Guildf	10.5	
MVDC	3.2	
R&B		
RuBC	2.6	
Spelt	1.6	HB & CT benefit
SHBC	1.3	
Tandr	7.7	
Waver	5.0	
Woking		HB & CT benefit
----	4.3	Average value of returns



Rolling year-to-date number of working days/shifts lost due to sickness absence. This is calculated by the number of long and short term sickness absence days divided by the number of FTE staff.

	Actual	
Elm	8.1	
E&E	11.8	
Guildf	8.7	
MVDC	5.6	
R&B		
RuBC	7.6	
Spelt	14.3	
SHBC	5.3	
Tandr	7.1	
Waver	7.0	
Woking	6.0	
----	8.2	Average value of returns

### Average number of working days lost to staff sickness absence – short term absence (Lower outturn is better)

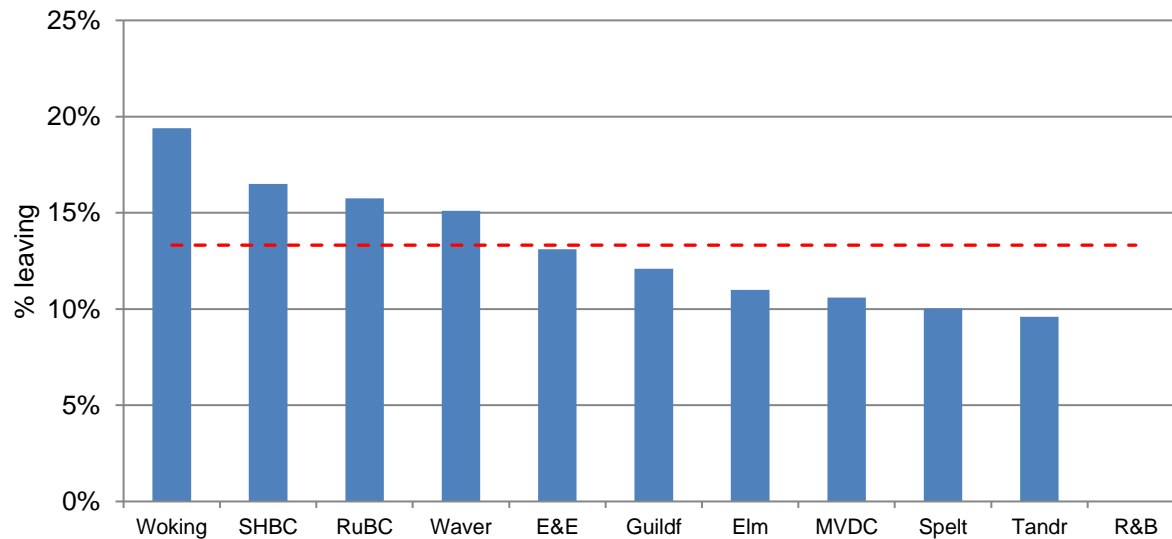


Rolling year-to-date number of working days/shifts lost due to short term sickness absence (20 days or less). This is calculated by the number of short term sickness absence days divided by the number of FTE staff.

	Actual
Elm	3.4
E&E	4.6
Guildf	6.6
MVDC	3.5
R&B	3.4
RuBC	4.1
Spelt	3.0
SHBC	3.1
Tandr	2.9
Waver	3.8
Woking	4.5
----	3.9

Average value of returns

### Percentage of staff turnover



Rolling year-to-date figure calculated from the total number of staff leaving (voluntary and non-voluntary) as a percentage of total staff in post.

	Actual
Elm	11.0%
E&E	13.1%
Guildf	12.1%
MVDC	10.6%
R&B	11.0%
RuBC	15.8%
Spelt	10.0%
SHBC	16.5%
Tandr	9.6%
Waver	15.1%
Woking	19.4%
----	13.3%

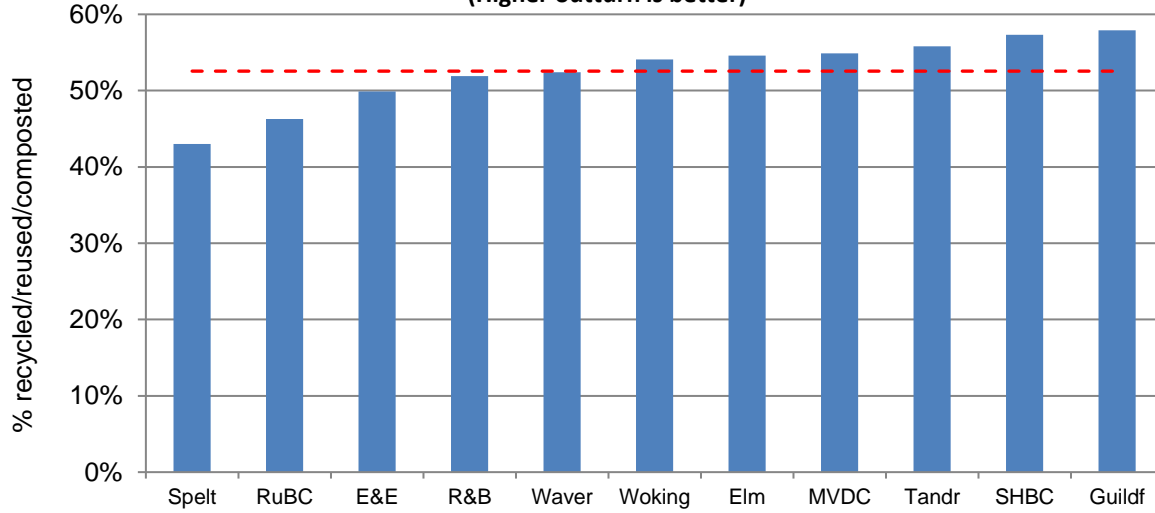
voluntary only

voluntary only

voluntary only

Average value of returns

### Recycling rate - percentage of household waste recycled, reused and composted (Higher outturn is better)

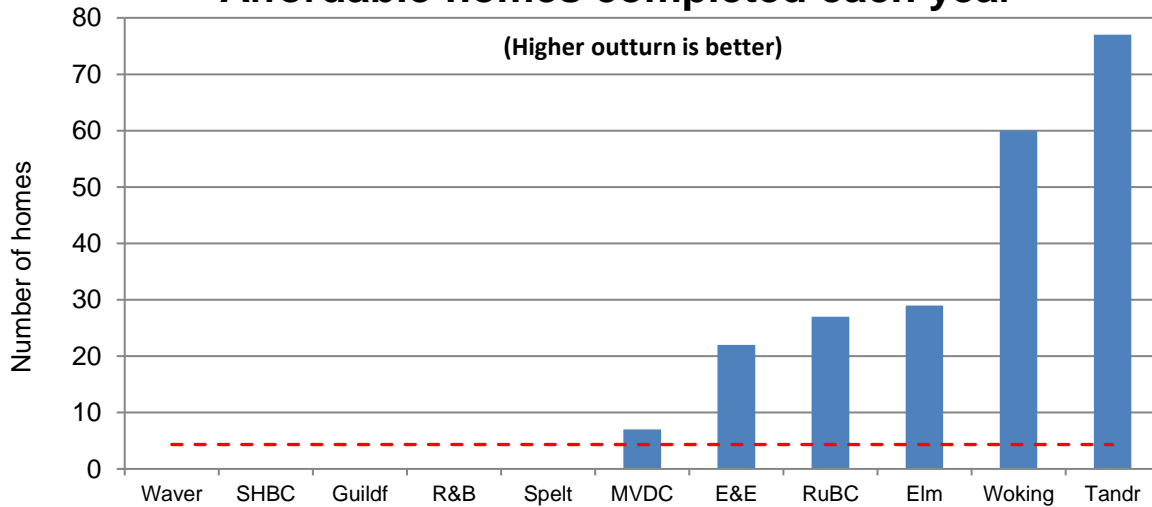


Rolling 12-month figure, calculated by comparing the amount of waste sent for recycling, reuse and composting against the total waste collected. Figures are for Q4 2023/24, provided by JWS for Surrey Environment Partnership.

	Actual
Elm	54.6%
E&E	49.9%
Guildf	57.9%
MVDC	54.9%
R&B	51.9%
RuBC	46.3%
Spelt	43.0%
SHBC	57.3%
Tandr	55.8%
Waver	52.4%
Woking	54.1%
----	52.6%

Average value of returns

### Affordable homes completed each year (Higher outturn is better)



A count of the number of affordable homes provided in the year. This figure is only provided at the end of the year and includes all affordable housing completions provided by Councils, Housing associations and those providers that do not fit into the first two categories.

	Actual
Elm	29
E&E	22
Guildf	0
MVDC	7
R&B	0
RuBC	27
Spelt	0
SHBC	0
Tandr	77
Waver	0
Woking	60
----	28

Average value of returns

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### Appendix 3 – Key Performance Indicators

KEY PERFORMANCE INDICATORS (INVESTMENT & REGENERATION PORTFOLIOS) PERFORMANCE INDICATORS					
	Responsibility	Reason	Data Source	Benchmark	Comments
<b>FINANCIAL (INCOME)</b>					
Portfolio Income Growth	Asset Management	To assess how SBC portfolio compares to budget in terms of net receivable income	Monitoring reports/financial outturn (May each year?)	To achieve or exceed Budgeted income outturn	Letting agents are used to secure new tenants on Market terms.
<b>FINANCIAL (EXPENDITURE)</b>					
Irrecoverable Revenue Expenditure	Asset Management	To monitor expenditure on refurbishments and holding costs against Budget	Monitoring reports/financial outturn	Expenditure is no greater than budget allowance	MSCI would provide a benchmark. A suite of documents including the Asset Management Plan, Annual Investment Strategy and individual Asset Business plans set out proposed investment needed to ensure it is recoverable via the service charge or met from capital budgets
<b>LEASE EVENT MANAGEMENT</b>					
Rent Reviews	Asset Management	To avoid delays in recording rental uplifts and for good estate management reasons		All reversionary rent reviews to be instigated prior to rent review date unless by exception	Reports are run 12-18 months in advance of lease event dates to ensure work can be programmed and external advice sought where necessary

### Appendix 3 – Key Performance Indicators

Lease Expiries	Asset Management	To avoid delays in recording rental uplifts and for good estate management reasons		All contracted out expiries to be instigated prior to expiry date unless by exception	Reports are run 12-18 months in advance of lease event dates to ensure work can be programmed and external advice sought where necessary
	<b>Responsibility</b>	<b>Reason</b>	<b>Data Source</b>	<b>Benchmark</b>	<b>Comments</b>
<b>TENANT RISK</b>					
Regular review of occupier credit ratings	Asset Management	To ensure that current and future occupier risk is identified and mitigated against	Dun & Bradstreet & Experian	Target = bi-annual reporting	Suggest bi-annual 'RAG' update from credit monitoring source on high risk / high value occupiers with annual review of whole portfolio.
Rent collection (lease rent only, exc turnover)	Asset Management	Regular monitoring of rent collection to assist with Finance budgeting and to identify problem tenants	Cushman JLL	80% within 14 days 90% by Qtr end	Bluebox (BP), External Managing Agents (Investment) and Customer Services via Integra (Municipal) undertake the rent demand Monitoring in place Rent Arrears report issued D&B reports and alerts Regular communication with tenants
<b>PORTFOLIO RISK</b>					
Portfolio Weighted Average Unexpired Lease Term to exceed market average lease length on new letting <i>[Current SE Office index is 7.9 years]</i>	Income	To ensure strategies are in place to preserve longevity of income	Annual Valuation	Carter Jonas – MSCI benchmark	Letting agents are used to secure new tenants on Market terms



**Appendix 3 – Key Performance Indicators**

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Appendix 4 Assets Service KPIs (excluding Investment Portfolio)

Code	Key indicator description	Time period	Target
	Accurate Budget setting and monitoring for income and expenditure across the portfolio within a +/- 5% tolerance	Monthly	Every financial year
	Ensure all tenants comply with the terms of their agreements including payment of rent on time, not undertaking activities that breach the terms and conditions of the agreement	On-going	Min annual property inspections
	Hold regular meetings with all tenants and internal service users to ensure informed decision making about all assets i.e., being aware of tenant's intention to vacate requiring re-letting, potential financial difficulties, need for larger space and to generally maintain a customer focused approach with all tenants.	On-going	Min annual meetings/discussions
	Ensure all properties remain health and safety compliant and that all statutory compliance checks are undertaken in a timely manner in accordance with required timescales.	On-going	All property to remain safe and compliant to statutory standards
	To ensure properties do not fall into disrepair, ensure a proactive planned maintenance approach is operated on where possible to ensure expenditure budgets are informed and reliable. All works should be procured in accordance with the Council's standing order guidance.	On-going	Min annual inspection of all properties
	All projects are progressed in accordance with approved budgets and the relevant committee decisions with appropriate project management documentation and updates produced.	On-going	Regular reporting to council committee and preparation of up-to-date budgets inc. reporting of budget changes
	Evaluate all Disposal and re-purposing opportunities for assets no longer cost effective in current use	On-going	At least once every financial year and more frequently if property becomes vacant in a period less than 12 months from last review.
	Ensure all invoices/payments are processed and paid in a timely manner.	On-going	Within 30 days of receipt, unless a shorter time period has been agreed i.e. construction contracts
	Work collaboratively with all stakeholders (internal and external) to achieve outcomes in respect of cross council service projects	During the project period	Regular stakeholder meetings and briefing updates.

	Payment of all non-utility company invoices	Unless agreed otherwise, standard payment terms are typically 30 days from the invoice date.	Ensure that all invoices have an approved PO before processing, then process within 48 hours of receipt and make sure they're paid in accordance with payment terms. Ensure supplier statement reconciliations are completed and saved, to ensure there are no o/s invoices, contacting the supplier with any queries.
	Issue of rent demands	Commercial portfolio 4-6 weeks prior to quarter day. Residential portfolio 1 week before due date (end of month)	Ensure that all rent demands are issued within sufficient timescales, prior to the due date, to allow the tenant time to process and pay. Ensure that the bank accounts are checked daily, and all receipts posted every morning.
	Payment of utility invoices	Payment terms are typically within 14 days of the invoice date.	Check all utility invoices are in the correct account name and are based on actual and not estimated readings, then process for payment within agreed payment terms.
	Bank Reconciliations	Weekly and monthly.	Ensure full reconciliation of all bank account transactions is completed weekly and monthly and reviewed.

			Ensure that any anomalies or unidentified transactions are investigated/rectified on date of reconciliation.
	Chasing Rent arrears	In line with rent arrears procedure, liaise with asset manager/residential team and ensure reminder letters are issued in accordance with procedure.	Instigate the standard rent arrears procedure for all rent not received by the due date.
	Municipal portfolio rental growth	Monitor lease events to ensure lease events are dealt with on a timely basis. Ongoing	6 months prior to the lease event to contact the tenant and secure agreement to new lease terms or rent review within 6 months of the lease event and secure an uplift, where possible to protect community assets whilst increasing SBC income
	Municipal portfolio rental income	Ongoing	Deliver a net contribution to the Revenue Budget of £350k per annum on average over a 3-year period
	Municipal lease events	Ongoing	Ensure rent reviews and new leases are documented in a timely manner and placed on the Councils Bluebox system

	Manage compliance records of municipal tenants	Ongoing	Ensure tenants are completing compliance, as per the terms of their lease on an annual basis to protect the Councils assets and residents

## **Corporate Policy & Resources Committee**

**09 October 2024**

### **Item 3 Safeguarding Children and Adults at Risk Policy 2024-2028**

This item was considered at the meeting of the Community Wellbeing & Housing Committee on 24 September 2024 who **resolved** to recommend to the Corporate Policy & Resources Committee that they:

1. Approve the Safeguarding Children and Adults at Risk Policy 2024-2028; and
2. Approve to delegate authority to the Strategic Safeguarding Lead in consultation with the Chair of the Community Wellbeing and Housing Committee to approve minor amendments and updates to the Policy.

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# Community Wellbeing & Housing Committee



**Date of meeting 24 September 2024**

<b>Title</b>	<i>Safeguarding Children and Adults at Risk Policy 2024-2028</i>
<b>Purpose of the report</b>	To make a recommendation to Corporate Policy and Resources Committee
<b>Report Author</b>	<i>Lisa Stonehouse Community Development Manager and Safeguarding Operational Lead</i>
<b>Ward(s) Affected</b>	All Wards
<b>Exempt</b>	No
<b>Exemption Reason</b>	N/A
<b>Corporate Priority</b>	Community
<b>Recommendations</b>	<p>Committee is asked to:</p> <ol style="list-style-type: none"> <li>1. Make a recommendation to the Corporate Policy and Resources Committee to approve the Safeguarding Children and Adults at Risk Policy 2024-2028.</li> <li>2. Make a recommendation to the Corporate Policy and Resources Committee to delegate authority to the Strategic Safeguarding Lead in consultation with the Chair of the Community Wellbeing and Housing Committee to approve minor amendments and updates to the Policy.</li> </ol>
<b>Reason for Recommendation</b>	<ol style="list-style-type: none"> <li>1. It is a statutory requirement for the Council to have a Safeguarding Policy.</li> <li>2. Minor changes to procedures and personnel will inevitably occur and the policy will need updating to reflect this. Delegation of approval to the Chair and Strategic Safeguarding Lead for Safeguarding would expedite this process.</li> <li>3. Any major changes or updates will require the Policy to come back to this Committee.</li> </ol>

## 1. Summary of the report

What is the situation	Why we want to do something
<ul style="list-style-type: none"> <li>It is a statutory requirement for the Council to have a Safeguarding Policy to safeguard children and adults at risk.</li> </ul>	<ul style="list-style-type: none"> <li>The current safeguarding policy requires updating in order to comply with statutory requirements.</li> </ul>
This is what we want to do about it	These are the next steps
<ul style="list-style-type: none"> <li>The new policy includes the updated information and procedures required to satisfy the statutory requirement to ensure that SBC safeguards children and adults at risk.</li> </ul>	<ul style="list-style-type: none"> <li>If Committee recommend that this policy is approved, it will be communicated to all staff and Cllrs via the council's communication channels.</li> <li>The procedures within the document will be implemented.</li> </ul>

1.1 This Report seeks a recommendation from Community Wellbeing and Housing Committee to approve the new Safeguarding Children and Adults at Risk Policy. (Appendix A)

1.2 It also seeks a recommendation to delegate authority to the Chair and the Strategic Safeguarding Lead to approve subsequent minor amendments to the policy such as procedure changes and telephone numbers.

## 2. Key issues

2.1 The Surrey Safeguarding Children Partnership (SSCP) and the Surrey Adult Safeguarding Board (SSAB) have the statutory duty to lead safeguarding arrangements across the Surrey locality and oversee and coordinate the effectiveness of the safeguarding work of its member and partner agencies. Spelthorne Borough Council (SBC) is a partner agency of the SSCP and SSAB. SBC refers all safeguarding concerns to Surrey County Council (SCC) as they have the statutory responsibility for this in Surrey.

2.2 A robust Safeguarding Policy for both children and adults at risk is required to ensure that Spelthorne Borough Council complies with our statutory duty under section 11 of the Children Act 2004 and under the Care Act 2014.

2.3 The SBC Safeguarding Children and Adults at Risk Policy 2024-2028 has been written to update and replace the previous version and to satisfy the statutory requirement. It covers all aspects of safeguarding best practice as well as the national and local context upon which the policy is based. Upon approval it will be communicated to all staff and Cllrs via the council internal communication channels.

### **3. Options analysis and proposal**

3.1 Option 1 is to approve the implementation of the new safeguarding strategy. The advantage of this is that the policy includes new information and procedures required to comply with the statutory safeguarding requirements. There are no disadvantages of this.

Option 2 is to make amendments to the draft policy attached to this report. *(The policy and procedures have been based on guidance from the Surrey Safeguarding Children's Partnership and Surrey Safeguarding Adult's Board. The policy has also gained approval from our Internal Safeguarding Strategic Board).*

Option 3 is to not approve the implementation of the new safeguarding strategy. There are no advantages of this option. The disadvantage of this is that the existing policy does not include the new information and procedures required to comply with the statutory safeguarding requirements

### **4. Financial management comments**

4.1 There are no significant financial implications in relation to the adoption of this strategy. SBC makes a partnership contribution of £1,416.00 per annum to the SSCP and £1055.00 per annum to the SSAB.

4.2 All staff undertake online safeguarding training and in house induction training. Frontline staff undertake additional external face to face training for which there is a charge of approximately £100 per delegate. In 2024 the cost of this will be approximately £3500. These members of staff will undertake training every 3 years. Councillors undertake basic induction training on election and will receive further training from the safeguarding operational lead within their term.

### **5. Risk management comments**

5.1 There are significant risks associated with not having an up-to-date policy. There is a statutory duty to have sufficient safeguarding policies and procedures in place. SBC could potentially be found to be in breach of statutory duty or negligent if there was a safeguarding incident and correct procedures were not followed.

5.1 There are no risk implications arising from the Report as mentioned above a robust policy and procedures will help to reduce the risk.

### **6. Procurement comments**

6.1 N/A .

### **7. Legal comments**

7.1 There is a statutory requirement for the council to make arrangements for ensuring that its functions are discharged having regard to the need to safeguard and promote the welfare of children and adults at risk pursuant to the Children Act 2004 and the Care Act 2014.

**8. Other considerations**

8.1 N/A

**9. Equality and Diversity**

9.1 The Safeguarding Policy is relevant to the whole population. Residents may be more vulnerable to abuse due to their age, inability to protect themselves due to care and support needs or due to exploitation. This is outlined within the policy.

**10. Sustainability/Climate Change Implications**

10.1 The policy does not have an impact on sustainability/climate change issues.

**11. Timetable for implementation**

11.1 The policy will be implemented upon approval. The policy is a live document and minor changes will be made in accordance with 1.2. The policy will be updated in 2028.

**12. Contact**

12.1 Lisa Stonehouse (Community Development Manager and Safeguarding Operational Lead) [L.Stonehouse@spelthorne.gov.uk](mailto:L.Stonehouse@spelthorne.gov.uk)

**Background papers: There are none.**

**Appendices:**

**Appendix A Safeguarding Children and Adults at Risk Policy**



## **Appendix A (DRAFT)**

# **Spelthorne Borough Council Safeguarding Policy and Procedures**

**A guide to safeguarding children and adults at risk**

**2024-2028**

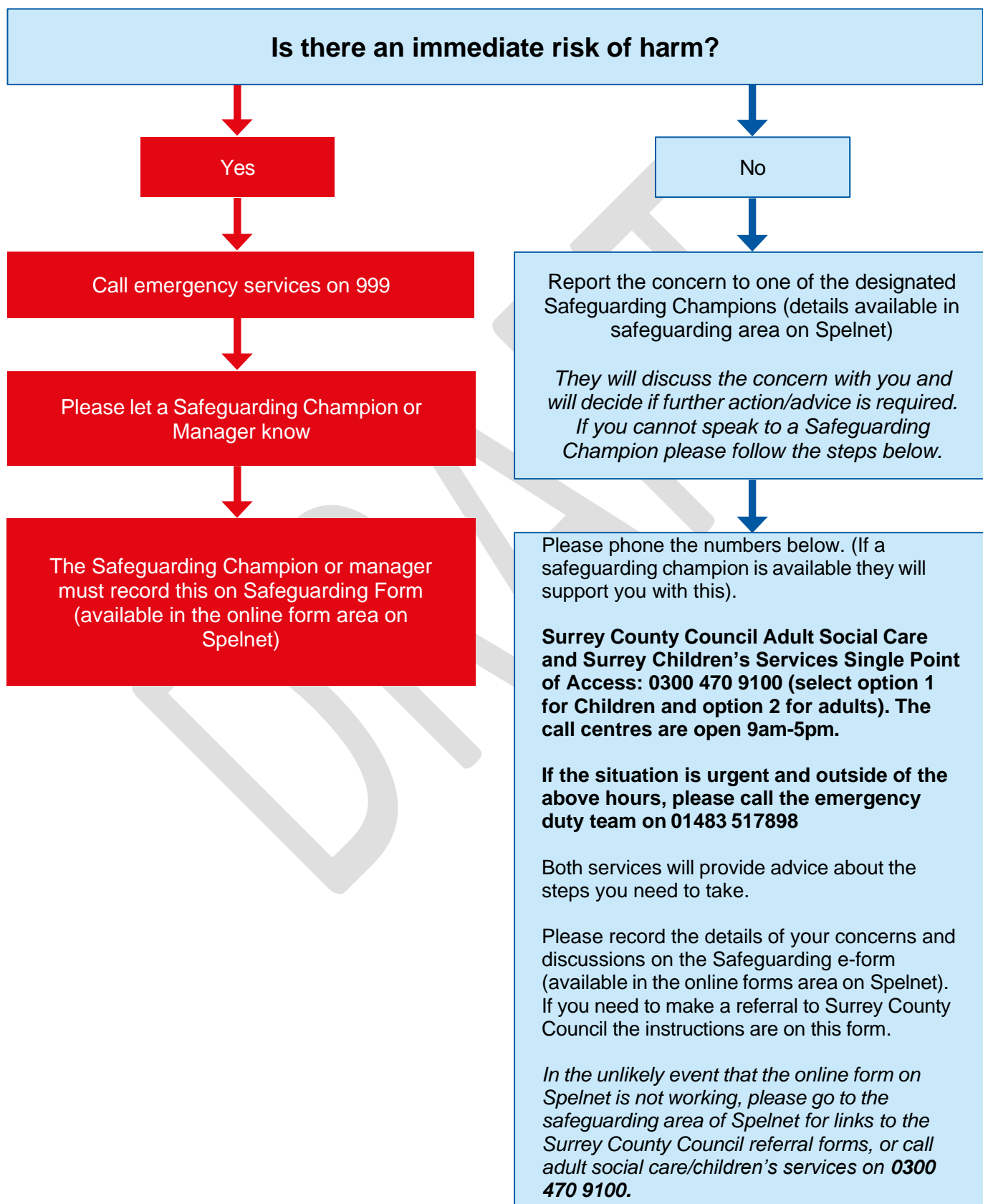
<b>Contents</b>	<b>Page</b>
How to report a safeguarding concern for a child or adult	3
Key Safeguarding Roles – Spelthorne Borough Council	4
Introduction	5-6
<b>Safeguarding Children and Young People</b>	
Safeguarding children introduction	7
Behaviour code for working with Children and Young People and adults at risk.	7
What is child abuse and signs of abuse	8
Definitions of harm – children and young people	9-10
Reacting to disclosures	11
Reporting procedures – children and young people	11-12
Reporting to the LADO and Communicating with parents/carers	12
Referring families for appropriate early support.	12
The Continuum of Support	12-13
<b>Safeguarding Adults at Risk of Harm</b>	
Introduction to safeguarding adults at risk of harm	14
Definitions of harm – adults at risk	15-16
Reporting procedures – adults at risk of harm	17-18
Safeguarding Children and Adults at Risk Training	19-20
Resolution of professional disagreements	20-21
Allegations made against staff and volunteers	21
Spelthorne Confidential Reporting Code	22
Information sharing	22-23
Strategic Safeguarding Board and Operational Safeguarding Group	24
Council contracts, licensing and grants	25
Appendix 1: Wider links to other strategies, bodies and support.	26-31

<b>Amendments / Changes</b>	<b>Date</b>

# How to report a safeguarding concern for a child or an adult



This could be a suspicion, an allegation, an observation or a disclosure of abuse or risk of abuse.



## Safeguarding Key Roles

Name	Role	Team	Contact details
Terry Collier	Strategic Safeguarding Lead	Deputy Chief Executive	01784 446296
Lisa Stonehouse	Operational Safeguarding Lead	Leisure and Community Development	01784 446431
Martin Cole	Safeguarding Champion	Neighbourhood Services	01784 448635
Deborah Dobson	Safeguarding Champion	Environmental Health	01784 448563
Lisa Dunton	Safeguarding Champion	Neighbourhood Services	01784 446412
Ken Emerson	Safeguarding Champion	Housing Options	01784 446382
Katy Frame	Safeguarding Champion	Human Resources	01784 444296
Nicki Gould	Safeguarding Champion	Independent Living	01784 448643
Janice Hutchinson	Safeguarding Champion	Independent Living	01784 243880
Will Jack	Safeguarding Champion	Community Safety	01784 448550
Hayley Littek	Safeguarding Champion	Family Support	
Herbie Mann	Safeguarding Champion	Housing Options	01784 448553
Victoria Mason	Safeguarding Champion	Independent Living	01784 446290
Sarah Morrison	Safeguarding Champion	Housing Options	01784 446479
Nicki Rentall	Safeguarding Champion	Independent Living	01784 446343



## Introduction

Spelthorne Borough Council (SBC) believe the safety and well-being of children, young people and adults at risk of harm is of the utmost importance and that they have a fundamental and equal right to be protected from harm regardless of age, disability, gender reassignment, race, religion or belief, sex or sexual orientation.

This Safeguarding Policy applies to anyone who is undertaking duties on behalf of SBC, whether paid or unpaid eg management, officers, elected members, consultants, contractors, volunteers, students and those on work experience. The purpose of the policy is to protect and enhance the safety and well-being of all children, young people and adults at risk of harm by actively promoting awareness, good practice and sound procedures to:

- Protect children from maltreatment;
- Prevent impairment of children's health and development;
- Ensuring that children grow up in circumstances consistent with the provision of safe and effective care;
- Taking action to enable all children to have the best outcomes.
- Ensure that adults are able to live their lives free from abuse or neglect.
- Protect those with care and support needs who are experiencing, or at risk of abuse and neglect as a result of their care and support needs.

The Safeguarding of children and adults at risk are governed by Government legislation.

- In the case of children, the legislation is the Children Act 2004. The Act recognises that shared responsibility and the need for effective joint working between agencies and professionals with different roles and expertise are essential if children are to be protected from harm and their welfare promoted and safeguarded. The Surrey Safeguarding Children Partnership (SSCP) has the lead statutory responsibility for safeguarding arrangements, led by the local authority, the police and Integrated Care Boards (NHS), along with other statutory and non-statutory partners. SBC and all Surrey Borough and District Councils are partners. [Surrey Safeguarding Children Partnership](#)
- In the case of adults, the legislation is the Care Act 2014. The Safeguarding Adults Board (SSAB) has the lead statutory responsibility for enforcing this legislation in partnership with multi-agency statutory and non-statutory partners. They ensure that partners in Surrey are working effectively to safeguard adults at risk from abuse and neglect. As with the SSCP the partners include the police, the integrated Care Board (NHS) along with other statutory and non-statutory partners. SBC and all Surrey Borough and District Council's. SBC and all Surrey Borough and District Councils are partners. [Surrey Safeguarding Adults Board](#)

SBC work in accordance with guidance and good practice from the SSCP and SSAB.

The policy includes safeguarding information and procedures for reporting concerns. The first section of the policy refers to children and young people, the second section of the policy relates to adults at risk. The final section refers to information applicable to people of all ages.

Everyone has a duty to ensure that any suspected incident, allegation, or other occurrence relating to child protection or safeguarding adults at risk of harm is reported using the procedures in this policy. If in any doubt about what action to take, you must seek advice from the safeguarding leads or one of the named safeguarding champions named on page 4.

Anyone undertaking duties for the organisation will be made aware of this policy as part of their induction and contract of employment/their volunteer induction. They will have access to mandatory training and further training and update training depending on their role in the organisation.

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# Safeguarding Children and Young People

## Introduction

Spelthorne Borough Council recognises its statutory responsibility for safeguarding. The safety, protection and well-being of all children and young people that it supports and interacts with is paramount and has priority. This includes responding immediately and appropriately where there is a suspicion that any young person under the age of 18 years old may be at risk of or experiencing harm or neglect.

In the context of the Children's Act 1989 a child means a person under the age of 18. In this policy any reference to a child or young person means anyone under the age of 18.

Spelthorne Borough Council encourages a culture of listening to and engaging in dialogue with children and young people, seeking their views in ways that are appropriate to their age, culture and understanding. We work in partnership with Surrey County Council's [User Voice and Participation Team](#) via the Borough and District Safeguarding Forum to consult with children and young people and support our corporate parenting obligations as outlined by the Surrey County Council Corporate Parenting Board and Strategy

This policy has been written based on legislation, policy and guidance that seeks to protect children in England including the Children's Act 2004 and Working Together to Safeguard Children (2023) which provides key statutory guidance to multi agency working to help protect and promote the welfare of children and young people.

These legislative sources are listed below for reference:

- [Children Act \(2004\)](#)
- [Working Together to Safeguard Children \(2023\)](#)

Working together to Safeguard Children 2023: statutory guidance states that: Nothing is more important than children's welfare. Every child deserves to grow up in a safe, stable, and loving home. Children who need help and protection deserve high quality and effective support. This requires individuals, agencies, and organisations to be clear about their own and each other's roles and responsibilities, and how they work together.

## Behaviour Code for Working with Children Young People and Adults at Risk

Those representing the Borough in any capacity are responsible for ensuring that children/young people and adults at risk are protected and any issues of concern are reported. The Spelthorne Borough Council Behaviour Code for Working with Children/Young People and Adults at Risk is available on the [Spelnet Safeguarding Page](#) and forms part of the this Safeguarding Policy. Following this code provides guidance on the behaviour that is expected which will help us to protect children, young people, and adults at risk and will also help to reduce the possibility of unfounded allegations being made.

## **What is Child Abuse?**

Child abuse happens when a person harms a child. It can be physical, sexual or emotional, but can also involve neglect.

Children may be abused by:

- family members
- friends
- people working or volunteering in organisational or community settings
- people they know
- strangers.

## **General signs of abuse\***

Children experiencing abuse often experience more than one type of abuse over a period of time. Children who experience abuse may be afraid to tell anybody about the abuse. They may struggle with feelings of guilt, shame or confusion, particularly if the abuser is a parent, caregiver or other close family member or friend.

Many of the signs that a child is being abused are the same, regardless of the type of abuse. Anyone working with children or young people needs to be able to recognise the signs. These include a child:

- being afraid of particular places or making excuses to avoid particular people.
- knowing about or being involved in 'adult issues' which are inappropriate for their age or stage of development, for example alcohol, drugs and/or sexual behaviour.
- having angry outbursts or behaving aggressively towards others.
- becoming withdrawn or appearing anxious, clingy or depressed.
- self-harming or having thoughts about suicide.
- showing changes in eating habits or developing eating disorders.
- regularly experiencing nightmares or sleep problems.
- regularly wetting the bed or soiling their clothes.
- running away or regularly going missing from home or care.
- not receiving adequate medical attention after injuries.

These signs do not necessarily mean that a child is being abused. There may well be other reasons for changes in a child's behaviour such as a bereavement or relationship problems between parents or carers. If you have any concerns about a child's wellbeing, you should report them to a safeguarding lead or champion listed on page 4.

\*With thanks to the NSPCC for this information.

## Definitions of Harm – in Relation to Children & Young People

- **Neglect and acts of omission**

This is maltreatment through the often persistent, repeated omission of appropriate physical, emotional, medical care or other support needs. Eg food clothing, shelter, hygiene needs, not getting the nurture or stimulation they need, or isolating them and not ensuring that they are cared for/have appropriate medical care when sick. Leaving a child alone in circumstances that are inappropriate for their age and or ability is also neglect. Neglect and acts of omission could lead to serious impairment of a child's health and development.

### **Surrey Neglect Screening Tool**

Surrey Safeguarding Children's Partnership provide a Neglect Screening Tool which all staff can use to support safeguarding referrals where neglect is suspected. The purpose of it is to help staff to focus in on specific neglect concerns and articulate these clearly to the Children's Single Point of Access (C-SPA) where necessary. Staff who work closely with children and families (eg The Family Support Team) should use the more in-depth Graded Care Profile 2 (GCP2) which they are licensed to use upon completion of the GCP2 training.

- **Emotional abuse**

This is persistent, emotional ill treatment that has a severe adverse effect on the emotional development of children and young people. It may involve conveying to them that they are not wanted, not loved or worthless, or deliberately trying to humiliate, isolate or intimidate them. It may involve inappropriate expectations and responsibilities being placed on the young person leaving them frightened and unable to cope. It may also involve threatening, exploitation or corruption of children and young people. Face to face and cyberbullying via social network sites, gaming sites or chat rooms are also examples of emotional abuse.

- **Physical abuse**

This may include hitting, kicking, shaking, slapping, throwing, scalding, burning, poisoning, drowning, suffocating, or other action intended to cause physical harm or ill health to the child or young person. Physical harm may also be caused when a parent or carer covers up the symptoms of or fabricates or induces illness by deliberately causing ill health to a child or young person within their care.

- **Child Sexual Abuse and Sexual Exploitation**

Child Sexual Abuse is when a child or young person is forced or persuaded to take part in sexual activities. This may involve physical contact or non-contact activities and can happen online or offline. Children and young people may not always understand that they are being sexually abused. Contact abuse may include sexual acts include penetrative and non-penetrative acts such as touching or stroking. Non-contact abuse may include things such as flashing at a child, encouraging or forcing a child to watch or hear sexual acts, or persuading a child to make view or distribute child abuse images such as performing sexual acts over the internet and other sexually inappropriate ways. There have been some high-profile cases of child sexual exploitation whereby young teenagers believe they are in relationships but are being groomed with gifts or the attraction of being associated with people with money/flash cars etc.

The Sexual Offences Act 2003 defines 'consent' as 'if he agrees by choice and has the capacity to make that choice'. The Act, removes the element of consent for many sexual offences for:

- Children/young people under 16
- Children/ young people under 18 having sexual relations with a person of trust (for example: teachers, youth workers, foster carers, police officers).
- Children / young people under 18 involved with family members over 18.
- Persons with a mental disorder impeding choice or who are induced, threatened or deceived.
- Persons with a mental disorder who have sexual relations with care workers.
- In relation to young people under the age of 13, consent is irrelevant. The law says, 'a child under the age of 13 does not, under any circumstances, have the legal capacity to consent to any form of sexual activity'. The Police must be informed immediately of any sexual activity involving a child under 13 years of age.

- **Witnessing ill treatment of others**

Witnessing domestic abuse is known to have a big impact on the health or development of a child or young person.

- **Modern Slavery/Exploitation**

This can include things like child trafficking and forced labour, such as enforced domestic service. Children and young people are also exploited by 'county lines' gangs who target vulnerable young people. County lines is a form of criminal exploitation where urban gangs persuade, coerce or force young people to store drugs, money or transport them to suburban areas. These vulnerable young people are also at risk of being abused in other ways.

- **Honour Based Violence and Female Genital Mutilation**

Honour based violence can take many forms but most commonly a girl or woman is abused or disowned by her family because they are believed to have brought dishonour or shame on the family. Men and boys can be victims too. Female Genital Mutilation (FGM) is when a female's genitals are deliberately altered or removed for non-medical reasons. Females may be sent abroad for this procedure.

- **Discrimination**

This Includes abuse or slurs etc because of race, gender, gender identity, age, disability, sexual orientation or religion.

- **Hate Crime and Mate Crime**

Hate crime is a crime motivated by hostility or prejudice towards any aspect of a person's identity. Mate crime is when a 'friendship' becomes bullying.

## How to Reacting to a Suspicion, Allegation or Disclosure.

### **A suspicion, allegation or disclosure may come about in a variety of ways.**

- Never ignore your concerns no matter how small you think it is.
- Your information could be an important piece of the jigsaw and may help to build a full picture when added to information from other people.
- Do not try and investigate the matter yourself. Surrey County Council are the specialists and have the statutory responsibility to do this.
- Listen carefully to the person rather than asking leading questions.
- Never promise any particular action or to keep things secret. Make it clear that you must report it.
- It is normal for a person making a disclosure to be upset and nervous. Allow them time to speak or to be silent whilst they gain the courage to speak.
- Try to relate to the age, understanding or special needs of the person.
- Write down carefully the information you have been given as soon as possible and only include what you have been told.

**Please discuss your concerns with a safeguarding lead/champion immediately. The safeguarding lead/champions are responsible for supporting officers to decide what action is required and whether a request for support needs to be made. In the unlikely event that a safeguarding lead/champion is not available the officer must follow the procedure on page 3 (also detailed below) and let the safeguarding lead/champion know what has been done as soon as possible.**

### **Reporting Procedures – Children and Young People**

It is vital to take every action which is needed to safeguard the child, children and young person(s).

- In an emergency please call 999.
- If an officer or safeguarding champion is unclear as to what action needs to be taken, the Surrey Children's Services Single Point of Access (C-SPA) Child Protection Consultation Line team will ensure that they are directed to the most appropriate service that can meet the child and family's needs. The consultation line is open 9am -5pm Monday- Friday to all professionals who work with families. 0300 470 9100 (option 1 for children's services then follow the next options) The emergency duty team is available outside of these hours and at weekends on 01483 517898.
- **Once you know if a referral to Surrey Children's Services Single Point of Access (C-SPA) is required/not required, please complete the Safeguarding e form (in the e form area of Spelnet). The form will ask you to document discussions you have had with Safeguarding Champions/Leads or Surrey County Council on the above form. If a referral to Surrey Children's Services (C-SPA) required, there is a link from the e form.**
- In the unlikely event that the online form on Spelnet is not working, please go to the safeguarding area of Spelnet for links to the Surrey County Council referral forms, or call adults social care or children's services on 0300 470 9100.

- Page 1 of this document explains what happens when we refer to CSPA and the services that work together to keep children safe. [`Rethinking the front door' Our revised model, personalised and tailored to meet the needs of children and families in Surrey](#)

## **Local Authority Designated Officer (LADO)**

If there is an allegation against anyone who works or volunteers with children in Surrey, this must be reported immediately to the Local Authority Designated Officer (LADO) who will assist. Please contact one of the Safeguarding Leads, your manager or Human Resources and they will contact them on 0300 123 1650. Email: [LADO@surreycc.gov.uk](mailto:LADO@surreycc.gov.uk) The LADO team also have a referral form. [LADO-referral-form](#)

## **Communicating with Parents/Carers**

While, in general, we should seek to discuss any concerns with the family and, where possible, seek their agreement to make referrals to Surrey Children's Services there will be some circumstances where we should not seek consent e.g. where to do so would:

- Place a child at increased risk of significant harm
- Place an adult at risk of serious harm;
- Prejudice the prevention or detection of a serious crime;
- Lead to unjustified delay in making enquiries about allegations of significant harm.

If you have concerns about the above, please seek advice from the Surrey County Council Children's Single Point of Access Team (C-SPA) as referenced above.

## **Referring Families for Appropriate Early Support**

Some families will benefit from early support to prevent a situation deteriorating and requiring social care involvement. Most families will be able to access opportunities in the community to support them and the needs of their children, some will need extra help to achieve this. This may be because they have additional needs or because of family circumstances or adversity or events outside their control.

Some families may find advice and signposting helpful, others will need goals-based help, or may have multiple or needs that require different practitioners to work in partnership together, with the family at the centre.

To ensure that families are helped early in Surrey, [The `Continuum of Support'](#) and the Social Work practice model `Family Safeguarding' are used as a guide. The Family Safeguarding model is a partnership approach to working with families. The principles of this model are rooted in understanding family needs, working on the families strengths and supporting more families to create sustained change.

## **The Continuum of Support**

There are five types of support which are outlined below:

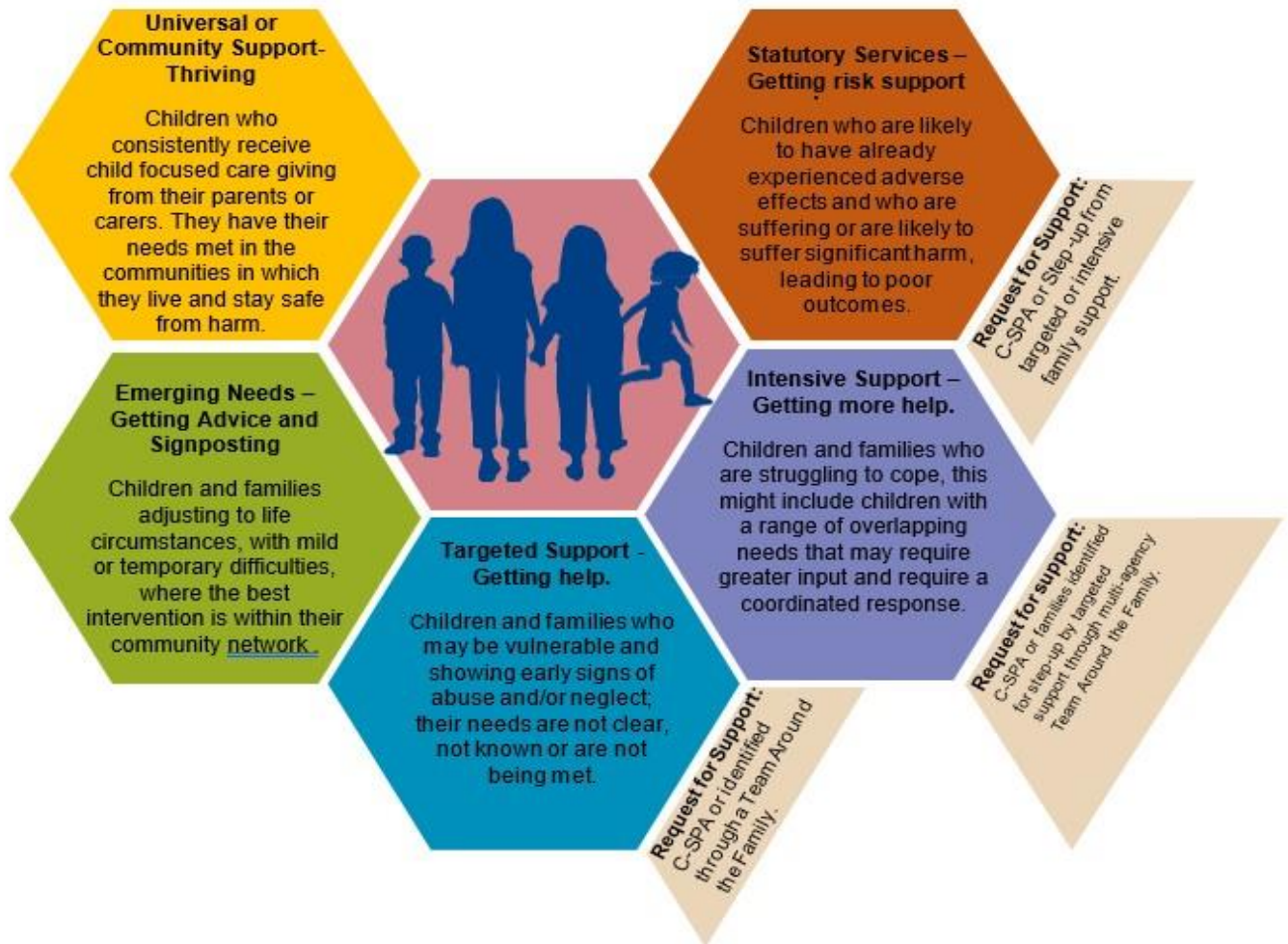
- Universal and community
- Emerging Needs
- Targeted Support
- Intensive Support



- Statutory Services

The Continuum of support indicators identifies which area of support a child/family may require for every aspect of their life. To ensure that families are referred for the appropriate support, training on the 'Continuum of Support' model and the indicators will be provided to Safeguarding Leads, Champions and frequent referrers eg Family Support, Housing and Environmental Health Teams.

A diagram of the five continuum of support indicators is below:



When discussing families with Surrey County Council Consultation line or when completing a request for support form, it is important to state where the child and family are on the 'Continuum of Support' by using indicators mentioned above. This will assist the consultation line or team receiving the request to provide advice and guidance about the appropriate support for the family and the next steps. The way in which Surrey County Council deal with Requests for Support and make decisions is outlined here ['Rethinking the front door' Our revised model, personalised and tailored to meet the needs of children and families in Surrey](#) If you know that there is more than one service working alongside a child and family, please mention this as a Team Around the Family (TAF) may be needed with other practitioners coming together to offer the most appropriate support and best outcomes for the child and family.

The practitioner most appropriate to co-ordinate the response should be someone who knows the family well and works closely with them. This practitioner will act as the child champion and be a

central point of contact for the family. They ensure the family is listened to, supported and kept informed. They will support the wider family and professional network in implementing the family plan. SBC officers (with the exception of the Family Support Team) generally don't know families well enough to be the lead practitioner. If you feel that a family will benefit from a TAF, please contact the children's safeguarding team (details on p3) or indicate this on the request for support form as they will support the process of identifying a lead professional.

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## Safeguarding Adults at Risk of Harm

Spelthorne Borough Council (SBC) recognises its statutory responsibility for safeguarding the safety, protection and well-being of all adults. Adult safeguarding work is about protecting adults with care and support needs from abuse and neglect, and about responding well when adults with care and support needs are experiencing or are at risk of abuse or neglect.

When making an adult safeguarding referral, there needs to be a reasonable cause for concern that the person you are referring;

- Has care and support needs; **and**
- Is experiencing, or at risk of, abuse or neglect

### Who is an adult with care and support needs?

An adult is someone who is 18 years old or more.

The term 'needs for care and support' is not precisely defined within legislation or statutory guidance. Defining a need for care and support considers both the nature of care and support and the circumstances in which an adult may need care and support.

An adult with care and support needs may be:

- an older person
- a person with a physical disability, a learning difficulty or a sensory impairment
- someone with mental health needs, including dementia or a personality disorder
- a person with a long-term health condition
- someone who misuses substances or alcohol to the extent that it affects their ability to manage day-to-day living.

Consideration of this need for care and support must be person-centred (for example, not all older people will need care and support but those who are 'frail due to ill health, physical disability or cognitive impairment' may be).

Surrey County Council (SCC) undertake an adult safeguarding enquiry if it has reasonable cause to suspect that an adult with care and support needs in Surrey is experiencing, or is at risk of, abuse or neglect, and they are not able to protect themselves from the abuse or neglect because of their care and support needs.

SBC is committed to;

- Stopping abuse or neglect wherever possible
- Safeguarding adults in a way that supports them in making choices and having control about how they want to live
- Promoting an approach that concentrates on improving life for the adults concerned
- Raising public awareness so that communities, alongside professionals, play their part in prevention.
- Identifying and responding to abuse and neglect.
- Providing information and support in accessible ways to help people understand the different types of abuse, how to stay safe and what to do to raise a concern about the safety or well-being of an adult
- Addressing what has caused the abuse or neglect

[The Care Act 2014](#) sets out the duties and powers in law around adult safeguarding issues. In Surrey the Safeguarding Adults Boards (SSAB) have the strategic lead and will respond to adult safeguarding concerns.

The [SSAB Policy and Procedures](#) provides information for all partners involved in safeguarding adults across Surrey.

## **Definitions of harm abuse / neglect in relation to adults**

Definitions of harm abuse and neglect in relation to an adult as set out in the Care Act 2014 are as follows:

### **Physical**

This includes hitting, slapping, pushing, kicking and misuse of medication, it can also include inappropriate sanctions.

### **Sexual**

This Includes rape, indecent exposure, sexual harassment, inappropriate looking or touching, sexual teasing or innuendo, sexual photography, subjection to pornography or witnessing sexual acts, indecent exposure and sexual assault or sexual acts to which the person has not consented or was pressured into consenting.

### **Financial or material**

This includes theft, fraud, internet scamming and coercion in relation to an adult's financial affairs or arrangements, including in connection with wills, property, inheritance or financial transactions. It can also include the misuse or misappropriation of property, possessions or benefits.

### **Neglect and Acts of Omission**

This includes ignoring medical or physical care needs and failing to provide access to appropriate health, social care or educational services. It also includes the withdrawing of the necessities of life, including medication, adequate nutrition and heating.

### **Emotional or Psychological**

This includes threats of harm or abandonment, deprivation of contact, humiliation, blaming, controlling, intimidation, coercion, harassment, verbal abuse, isolation or withdrawal from services or supportive networks.

### **Modern slavery**

This encompasses slavery, human trafficking, forced labour and domestic servitude. There have been some high-profile news stories about human trafficking and forced labour.

### **Domestic Abuse**

This includes psychological, physical, sexual, financial, emotional abuse perpetrated by anyone within a person's family. It also includes so called 'honour' based violence.

## **Discriminatory**

Discrimination is abuse that focusses on a difference or perceived difference in relation to any of the protected characteristic of the Equality Act such as race, gender, disability etc.

## **Organisational**

This includes neglect and poor care practice within an institution or specific care setting eg a hospital, care home or community centre, or in relation to care provided in one's own home. Organisational abuse can range from one off incidents to on-going ill-treatment. It can also be through neglect or poor professional practice as a result of the structure, policies, processes and practices within an organisation.

## **Self-neglect**

This covers a wide range of behaviour, but it can be broadly defined as neglecting to care for one's personal hygiene, health or surroundings. An example of self-neglect is behaviour such as hoarding.

## **Additional Types of harm relevant to safeguarding adults but not currently included in the Care Act.**

### **Cyber Bullying**

This occurs when someone repeatedly makes fun of another person online via emails, texts or online forums. It can also involve using online forums with the intention of harming, damaging, humiliating or isolating another person. It may include bullying related to a protected characteristic under the Equality Act.

### **Forced Marriage**

This is a term used to describe a marriage in which one or both of the parties are married without their consent or against their will. Forced Marriage is a criminal offence. It differs from an arranged marriage in which both parties consent to the assistance of a third party in identifying a spouse.

### **Mate Crime**

This is when vulnerable people are befriended by members of the community who go on to exploit and take advantage of them. A mate crime is carried out by someone the adult knows and it often happens in private. There have been number of Serious Case Reviews relating to people with learning disability who were seriously harmed or even murdered by people who purported to their friend.

### **Radicalisation**

The aim of radicalisation is to inspire new recruits, embed extreme views and persuade vulnerable individuals to the legitimacy of a cause. This may happen through a relationship or through social media. People may be radicalised prior to committing acts of terrorism. The 'Prevent' agenda is a UK wide strategy that aims to stop people becoming terrorists or supporting terrorism. Further information on Prevent is on page 28.

## **A suspicion, allegation or disclosure or abuse may come about in a variety of ways**

- Never ignore your concerns no matter how small you think it is.
- Your information could be an important piece of the jigsaw and may help to build a full picture when added to information from other people.
- Do not try and investigate the matter yourself. Surrey County Council are the specialists and have the statutory responsibility to do this.
- Listen carefully to the person rather than asking leading questions.
- Never promise any particular action or to keep things secret. Make it clear that you must report it.
- It is normal for a person making a disclosure to be upset and nervous. Allow them time to speak or to be silent whilst they gain the courage to speak.
- Try to relate to the understanding or special needs of the person.
- Write down carefully the information you have been given as soon as possible and within 24 hours and only include what you have been told.

**Please discuss your concerns with a safeguarding lead/champion immediately. The safeguarding lead/champion is responsible for supporting the officers to decide what action is required and referral needs to be made. In the unlikely event that a safeguarding lead/champion is not available the officer must follow the procedure on page 3 (also detailed below) and let the safeguarding lead/champion know what has been done as soon as possible.**

### **Reporting Procedures – Adults at risk of harm**

It is vital to take every action which is needed to safeguard the adult at risk.

- If the adult is in immediate danger or requires emergency medical attention call 999 for the police or an ambulance.

If an officer or safeguarding champion believes that the situation is urgent, or is unclear as to what action needs to be taken, please call Surrey County Council Adult Social Care on:

- 0300 470 9100 (9am to 5pm Monday to Friday).
- Textphone (via Text Relay):18001 0300 200 1005
- SMS:07527 182 861 (for the deaf or hard of hearing)
- VRS: [Sign Language Video Relay Service](#)

All calls will be answered by the information and Advice Service who will advise on the steps you need to take.

For emergency situations outside our standard hours

- Telephone:01483 517 898
- Email:[edt.ssd@surreycc.gov.uk](mailto:edt.ssd@surreycc.gov.uk)
- Textphone (via Relay UK):18001 01483 517898
- Text (SMS):07800000388 (for the deaf or hard of hearing)

**Once you know if a referral to Surrey Adult Social Care is required, please complete the Safeguarding e form (e form area of Spelnet). The form will ask you to document discussions you have had with Safeguarding Champions/Leads or Surrey County Council.**

**If a referral to Surrey Adult Social Care is required, there is a link from the Spelnet form to the Adult Social Care referral form.**

In the unlikely event that the online form on Spelnet is not working, please go to the safeguarding area of Spelnet for links to the Surrey County Council referral forms, or call adults social care or children's services on 0300 470 9100.

This [Guide to Reporting Abuse and Safeguarding Enquiries](#) outlines what will happen when you report a concern and when social care carry out an enquiry under S42 of the Care Act 2014. Please use this SSAB guide to [Making Good Referrals of Adult Safeguarding Concerns in Surrey](#) which has been developed along with the [Adult Social Care Levels of Need](#) to assist you in making your referral to the appropriate service.

All correspondence must be kept strictly confidential. Please make sure that you consult the documents above to ensure that include all the necessary information.

Some referrals may require help and support rather than it being a safeguarding concern. Staff should refer to the Levels of Need document for a fuller understanding of the types of need that should be in each category and where to contact for help. [Adult Social Care Levels of Need](#)

Examples of the different levels of need are below:

Level 1 (Universal Response)

Level 2 (Early Help/Support needs and/or signposting)

Level 3 (Targeted Help/Care and support needs)

Level 4 (Safeguarding Concern requiring a decision whether Care Act criteria are met)

## Training

There is a wealth of safeguarding training available for SBC staff. The information below provides a guide to help staff access what they need to fulfil their duties and obligations plus some useful wider links.

Managers must ensure that staff complete the relevant sessions, and that safeguarding principles and procedures are encouraged and supported in their line of work, whatever function they perform. All safeguarding training, other than induction and e learning should be recorded on the Training Log e form under HR e forms on Spelnet. Teams who regularly perform safeguarding work may wish to also collate and record safeguarding training collectively. Specific Officers in Housing, Environmental Health, Independent Living, Spelride, Leisure Services and Community Safety teams will require additional safeguarding training.

### Mandatory training

All staff must complete mandatory safeguarding e-learning on [WorkRite](#) when they commence employment with SBC. The training covers an overview of safeguarding children and adults at risk of harm and must be re done every two years. All staff undertake mandatory induction training which is carried out by the Operational Safeguarding Lead.

Officers from the teams mentioned above and others that have face to face contact with members must also undertake the Safeguarding Children, Adults and Domestic Abuse course provided via Surrey Learn (or an equivalent course). This is a taught online course and may also be available face to face.

### Safer Recruitment

SBC have safer recruitment processes in place. The purpose of this is to ensure that applicants who may wish to harm adults at risk, children or young people are deterred from applying for jobs or volunteering opportunities. For example:

- Unsuitable applicants are rejected by scrutinising applications and exploring potential areas for concern at interview.
- Carrying out all relevant pre-employment/pre volunteering checks such as seeking references and undergoing DBS checks.
- Ensuring all new staff and volunteers are given an appropriate induction.
- To identify and manage any identified risks and maintain a safe and vigilant culture.

Managers that recruit into roles working with children, young people and adults at risk may require additional safer recruitment training.

### Children's Safeguarding

The SSCP provide free online and in-person training for partner agencies such as SBC on a huge range of safeguarding topics, including the new Continuum of Support for Children and Families. An overview of available courses can be found via the [Surrey Safeguarding Children's Academy](#) The username is the member of staff Spelthorne email address. A password will need to be created.

The [SSCP Safeguarding Children Training Pathway](#) provides guidance as to which training is appropriate for which members of staff. SBC have developed a training pathway which follows this guidance. All Spelthorne, employees require level 1 training. Housing, Environment Health (residential), Leisure and the Family Support Team require level 2 training and the continuum of support training.



## **Adult Safeguarding**

Surrey Safeguarding Adults Board training information is available [here](#). The SSAB have developed a [Competency-Framework](#) and [Competency-Framework-Guidance](#) to assist to identify the training needs of their staff (including volunteers). These requirements are incorporated into the SBC training pathway.

## **Councillor Training**

Safeguarding training is included in the Councillor Induction. Further training is then provided relating to children and adult safeguarding every four years.

## **Disclosure and Barring Service (DBS) Checks**

SBC have compiled a list of the posts that require a Disclosure and Barring check. Certain volunteers will also require this check depending on the nature of their role. These staff and volunteers will have a DBS check before commencing employment. Any failure to disclose convictions may result in disciplinary action or dismissal. All Councillors undergo a Basic DBS check every 4 years.

## **Resolution of professional disagreements**

The needs of children, families and adults in safeguarding cases can be complex. Often there may be no right or wrong solution and practitioners may exercise their professional judgement differently and have differing opinions of what the right approach should be. It is of vital importance that the welfare of the child, young person and their family, or the adult at risk is paramount and they do not become entangled in professional disagreements. Where such disputes do occur, it is important that practitioners resolve things together, with minimum delay.

## **Resolution of Professional Disagreements (Children)**

If officers at SBC disagree with a decision made by Surrey CC or a partner agency in relation to a child or young person the FaST Resolution Process (Surrey Safeguarding Children Partnership) sets out how disagreements should be dealt with.

If officers can respond “Yes” to ALL of the following THREE questions, then the FaST resolution process is the best course of action:

- Are you concerned about a decision or practice related to a child or young person that you are working with?
- Is the child or young person being put “at risk” of harm as a result?
- Have you already raised your concern through normal channels (e.g. referral to the Children’s Social Care Single Point of Access C-SPA), raised your concern in a child protection meeting or team around the child meeting) but not achieved the resolution you wanted for the child?

**If it is unclear as to whether to use the process, The Surrey Safeguarding Children Partnership will be able to provide advice. [partnership.escalation@surreycc.gov.uk](mailto:partnership.escalation@surreycc.gov.uk).**

## **Resolution of Professional Disagreements (Adults)**

The [SSAB Inter-Agency Escalation Policy and Procedure](#) must be used when workers from one or more agencies do not feel that a safeguarding decision made by a worker from another agency are safe ones, or adequately protect the individual from abuse or neglect. It may also be used when agencies are working in a collaborative, person centred way to safely manage risks but have reached a point where elements of risk are unmanageable and beyond the operational group's level of accountability. The aim of the policy is to ensure that any disagreements do not:

- Introduce unnecessary delay in implementing prevention plans.
- Distract from the focus on the adult at risk.
- Contribute to an increase in risk factors for the adult at risk

The policy also provides a series of steps for the escalation of complex cases with unmanageable risk.

If the above procedure is followed and the professional disagreement remains, the disagreement should be escalated to the Surrey Safeguarding Adults Board by completing a [Partnership Escalation Form to the SSAB](#)

## **Allegations made against staff and volunteers**

When any form of allegation is made that might indicate a member of staff or volunteer could pose a risk of harm to children, young people or adults with care and support needs, it must be taken seriously.

Allegations may include that a person has:

- Behaved in a way that has harmed or may have harmed a child or adult with care and support needs.
- Possibly committed a criminal offence against or related to a child or adult with care and support needs.
- Behaved towards a child or children in a way that indicates they may pose a risk of harm to children or adults with care and support needs
- Behaved or may have behaved in a way that indicates they may not be suitable to work with children or adults with care and support needs

Concerns could also arise from the person's home / personal life, as well as within their work/volunteering and may include situations such as:

- A person has behaved (or is alleged to have behaved) towards another adult in a way that indicates they may pose a risk of harm to adults with care and support. For example, this may include situations where a person is being investigated by the police for domestic abuse to a partner, and undertakes voluntary work with adults with care and support needs or children.
- A person has behaved (or is alleged to have behaved) towards children in a way that indicates that they may pose a risk of harm to children or adults with care and support need.
- A person is the subject of a safeguarding enquiry into allegations of abuse or neglect which have occurred in one setting. However, there are also concerns that the person is employed, volunteers or is a student in another setting where there are adults with care and support

needs who may also be at risk of harm

If staff become aware of an allegation they must report this to the Operational or Strategic Lead for safeguarding or Human Resources immediately.

In the case of allegations that could impact a child, the Safeguarding Leads or Human Resources will seek the advice of the Surrey County Council Local Authority Designated Officer (LADO) by contacting 0300 123 1650 (option 3), emailing [LADO@surreycc.gov.uk](mailto:LADO@surreycc.gov.uk), or completing the Surrey LADO Referral form. Please see the full SSCP policy on [Managing allegations against people that work or volunteer with children](#)

In the case of allegation that could impact adults, the concern must be referred to Surrey County Council Adult Social Care and the Police.

Where allegations of inappropriate behaviour are raised, the Spelthorne Borough Council disciplinary policy and procedure will also be followed.

### **Spelthorne Confidential Reporting Code (Whistleblowing)**

If a member of staff is concerned about the attitude or actions of colleagues, or the way in which a safeguarding incident has been handled, they may prefer to contact the managers listed in the Spelthorne Confidential Reporting Code. If the information raises safeguarding concerns, it cannot be kept confidential. This information must always be forwarded to Surrey County Council Safeguarding Teams.

### **Information Sharing is Vital**

Information sharing is vital to safeguarding and promoting the welfare of children and adults at risk. A key factor in many serious case reviews has been a failure of agencies to record information, to share it, to understand the significance of the information shared and to take appropriate action in relation to known or suspected abuse or neglect.

Data protection law allows people to share information when required to identify children or adults at risk of harm and to safeguard them.

All staff & volunteers must adhere to the information sharing protocol published by HM Government

[Information sharing advice for practitioners providing safeguarding services for children, young people, parents and carers](#)

The document above states seven golden rules for sharing information.

- All children and adults at risk have a right to be protected from abuse and neglect. Protecting the person from harm takes priority over protecting their privacy or the privacy rights of the person(s) failing to protect them.
- When you have a safeguarding concern, wherever it is practicable and safe to do so, engage with the child or adult at risk (if possible) and/or their carer (s) and explain who you intend to share the information with and what information you will be sharing. You don't need to do this if you may put them at more risk by doing so.

- You do not need consent to share personal information about a child/adult/members of their family if a child or adult is at risk or there is a perceived risk of harm. While it is always good to work with the knowledge and understanding of those involved, or even their agreement, it is important to remember that the lawful basis of consent is not required for sharing information in a safeguarding context. The withholding of consent will not affect your ability to share for a legitimate safeguarding purpose. In the case of safeguarding the lawful basis for sharing information could be Public Task (“in the exercise of official authority”) Legal Obligation (to comply with the safeguarding legislation) or Vital Interest (where you are sharing information in an urgent situation). Whilst you should consider any objection the child or their carers may have to proposed information sharing, you should consider overriding their objections if you believe sharing the information is necessary to protect the child or adult from harm.
- Seek advice promptly whenever you are uncertain or do not fully understand how the legal framework supports information sharing in a particular case. Do not leave a child or adult at risk of harm because you have concerns you might be criticised for sharing information. Speak to the Safeguarding Leads or the Data Protection Officer who will support you.
- When sharing information, ensure you and the person or agency/organisation that receives the information take steps to protect the identities of any individuals (e.g., the child or adult at risk, a carer, a neighbour, or a colleague) who might suffer harm if their details became known to an abuser or one of their associates.
- Only share relevant and accurate information with individuals or agencies/organisations that have a role in safeguarding the person and/or providing their family with support, and only share the information they need to support the provision of their services. Eg you are unlikely to be required to share an entire case file. Only share information that is necessary and proportionate for the intended purpose. It needs to be relevant, adequate and accurate.
- Record the reasons for your information sharing decision, irrespective of whether or not you decide to share information. When another practitioner or organisation requests information from you, and you decide not to share it, be prepared to explain why you chose not to do so. Be willing to reconsider your decision if the requestor shares new information that might cause you to regard information you hold in a new light. When recording any decision, clearly set out the rationale and be prepared to explain your reasons if you are asked.

## Relevant Spelthorne Borough Council Policies and Procedures

In addition to the policies and procedures mentioned within this policy, these wider organisational policies, procedures and guidance are also relevant to safeguarding.

- Staff Code of Conduct
- Domestic Abuse and the Workplace Policy
- Equalities Statement and Procedures

## Internal Monitoring: Performance and Quality Assurance

SBC have a Strategic Safeguarding Board and an Operational Safeguarding Groups:

### Spelthorne Strategic Safeguarding Board

Attendees include the Strategic and Operational Safeguarding Lead, senior managers and the lead councillor for safeguarding.

This Board is held quarterly. Agenda items include:

- Adult and Children Safeguarding Policy eg updates
- Updates from the District and Borough Safeguarding Leads Forum
- Referrals made in the last quarter and any themes or concerns
- Learning from serious case reviews
- Training Updates
- Performance Monitoring and Quality Assessment
  - Section 11 Audit (SSCP) action/improvement Plan
  - SSAB audits and action/improvement plan

The aim of this group is to ensure compliance with our statutory duties under the Care Act 2014 and the Children Act 2004, taking account of accompanying guidance and best practice.

### Spelthorne Operational Safeguarding Group

Attendees include the Operational Safeguarding Lead and Safeguarding Champions

This group is also held quarterly. Agenda items include:

Training updates eg improving referrals  
Updates on new procedures  
Referrals made in the last quarter and any themes or concerns  
Learning from serious case reviews  
Identifying areas for improvement

## **Contracts**

SBC contracts include reference to safeguarding and are monitored appropriately. Safeguarding is referenced in the general conditions of contract for suppliers. Failure to comply with such contract conditions may result in the contract being terminated.

Contractors engaged by the Council in areas where workers are likely to come into regular contact with children or 'adults with needs for care and support' should have a safeguarding policy and ensure that procedures such as DBS checks are undertaken. The contract monitoring officer will ensure that these procedures are being followed.

## **Licensing**

SBC is the licensing authority for Private Hire and Hackney Carriages. As part of the licence conditions, drivers must pass the `Blue Lamp Trust Taxi Safeguarding Training before a licence is issued. SBC also issue licences and enforce the requirements of the Licensing Act and Gambling Act. An important part of this is to ensure that children and vulnerable persons are protected from harm and exploitation and to prevent crime and disorder from occurring. SBC works in partnership with Surrey CC Safeguarding, Trading Standards and the Police to ensure that children, young people and vulnerable persons are protected.

## **Council Grants**

Voluntary Organisations receiving grant funding from the Council will be expected to have a safeguarding policy and procedures in place.

## **Appendix 1: Wider links to local strategies/bodies and support**

The following section details other Borough groups, county policies and strategies that have a link with the safeguarding of residents.

### **Spelthorne Safer Stronger Partnership (SSSP)**

The Community Safety Partnership (CSP) is known locally as the Spelthorne Safer Stronger Partnership (SSSP). The Board meets quarterly and includes statutory and non-statutory partners who support the Task Groups and monitor the overall implementation of the Community Safety Strategy. There are several task groups including:

- **Tactical and Coordinating Group (T&CG)**

This group facilitate improved responses to localised crime and disorder by appraising local intelligence, monitoring incidents as well as dealing with concerns relating to Anti-Social Behaviour. The T&CG also carry out a tasking and coordinating role with the Spelthorne Joint Enforcement Team to provide a quick and effective localised response.

- **Community Harm and Risk Management Meeting CHaRMM)**

This group discuss and agree actions to reduce the negative impact that problem individuals and families have on Surrey's Communities through their Anti- Social Behaviour. This multi-agency group put in place appropriate risk management plans to address the behaviour of the perpetrator and reduce the impact on victims. Domestic Abuse (DA) and Hate Crime are managed via this group and key partners are tasked to ensure that DA survivors needs are managed via this forum.

- **Surrey Community Safety Forum**

This Surrey wide forum is attended by all the Community Safety Officers, Police, ASB Officers and Community Safety Partnerships across Surrey. The purpose is to collaborate on new and emerging subjects.

- **Surrey Domestic Homicide Review (DHR) Board**

This Surrey wide forum is attended by all Community Safety Officers and the Office of Police and Crime Commissioner. It monitors ongoing DHR investigations.

- **High Harm Perpetrators Unit (HHPO) Management Panel**

This multi- agency group works to prevent and deter new entrants to the criminal justice system and to catch and convict active criminals who cause most harm to communities, and to help resettle and rehabilitate offenders who want to turn their back on a life of crime.

- **Other groups include.**

Surrey Risk Management Meeting  
Surrey Drug and Alcohol Substance Misuse Panel  
Domestic Homicide Review Group

## **Domestic Abuse**

Domestic abuse can be any incident of threatening behaviour, violence or abuse between adults who are, or have been, intimate partners, family members or members of the same household regardless of gender or sexuality. Domestic abuse is not limited to violent abuse; it can be physical, psychological, sexual, emotional or financial. It arises from the misuse of power and control by one person over another. It is rarely a one-off event and tends to escalate in frequency and severity over time. Children's health and wellbeing can be seriously affected by living in households where there is any form of domestic abuse. More information, including contacts for agencies that can offer support and practical advice and a specific section for professionals, can be found at [www.surreyagainstda.info](http://www.surreyagainstda.info). The [Surrey Against Domestic Abuse Strategy](#) outlines the action to be taken from 2024-2029.

## **Mental Health**

If someone is experiencing mental health problems, it is important to signpost/refer them to appropriate help and support/services. The [Healthy Surrey Website](#) provides information about the mental health services in Surrey which range from crisis support to talking therapies.

### **What is a mental health crisis?**

The mental health charity Mind describes a mental health crisis as when a person feels in need of urgent help. For example, they might experience:

**[Suicidal feelings](#)** or **[self-harming behaviour](#)**

**[Extreme anxiety or panic attacks](#)**

**[Psychotic episodes](#)** (such as delusions, hallucinations, **[paranoia](#)** or **[hearing voices](#)**)

**[Mania](#)** (intense moods, hyperactivity, delusions and unreasonable euphoria) or hypomania (a milder version of mania that lasts for a short period)

Other behaviour that feels out of control and is likely to endanger themselves or others.

A list of [Crisis Services](#) for adults in Surrey are available on the Health Surrey Website.

### **Mental Health Talking Therapies and Community Connections**

If a person is feeling anxious or depressed, or that life is too difficult, there are a range of free and confidential services on offer including talking therapies (IAPT), 1-1 and group based support and activities that people can self-refer to.

There are also a range of self-help resources available, including downloadable printed and audio formats. Details of all the services mentioned above are available on the [Healthy Surrey Website](#) mentioned above.



## Modern Slavery

Modern slavery is an unseen crime, it may take place in several settings and in the past has been linked to takeaways, hotels, car washes, nail bars and private homes. There is no typical victim of slavery. Victims can be men, women and children of all ages but it is normally more prevalent amongst the most vulnerable, minority or socially excluded groups. The broad categories of Modern Slavery include:

- Forced labour
- Debt bondage
- Sexual exploitation
- Forced criminality
- Domestic servitude

Victims are often trafficked to a foreign county where they cannot speak the language, have their travel and identity documents removed and are told that if they try and attempt escape, they or their families will be harmed. Please refer concerns about Modern slavery online via the [Surrey Police](#) e form or by calling 101(always call 999 in an emergency)

More information can be found on the Healthy Surrey Website [Modern slavery](#)

## Prevent Programme

Prevent is one strand of the government's counter terrorism strategy known as CONTEST. Some people due to their vulnerabilities, associations or ideology may be at risk of being drawn into terrorism. Prevent aims to work in partnership to identify those at risk of being drawn into extremist and terrorist activity and ensures that these vulnerable people are given appropriate advice and support.

If a member of staff is concerned that a customer or colleague may be at risk of being drawn into terrorism due to their vulnerabilities, associations or ideology then a referral must be made by completing the Prevent Referral Form [Prevent information and referral form](#) and emailing it to the police address indicated on the form.

[Act Early](#) is a website for family and friends to share concerns and seek help if they are worried that a person they care about is being radicalised, or drawn into extremism/terrorism. They can report in confidence via 'Act Early' or via:

- Contacting Surrey Police by dialling 101
- Reporting your concerns anonymously to CrimeStoppers 0800 555 111
- Call the Anti-Terrorist Hotline on 0800 789 321
- If it's an emergency, always dial 999

Further information about the government Prevent strategy is available [here](#)

## **Child Exploitation**

Child exploitation means using a child or young person (someone under 18 years) for financial gain, sexual gratification, labour, or personal advantage. Exploitation can take place online, offline or can often involve both. These children/young people face risks to their physical, emotional and psychological health and wellbeing.

The Police, Surrey County Council and all partners including SBC are working together to safeguard young people and prevent them from experiencing any form of exploitation.

The types of exploitation are as follows:

### **Child Criminal Exploitation**

- Forcing a child to carry or deliver drugs money or weapons. 'County Lines' is a term used to describe the criminal networks moving illegal drugs and weapons from one area to another. This is often across police and local authority boundaries, although it can occur within the same geographical area. The 'County Line' or 'Deal Line' is the mobile phone used to deal and supply drugs.
- Forcing a child to steal or hurt others.
- Financial exploitation including using children's bank accounts to launder money.

### **Child Sexual Exploitation (CSE)**

Child sexual exploitation (CSE) is a form of child sexual abuse. It occurs where an individual or group takes advantage of an imbalance of power to coerce, manipulate or deceive a child or young person (under the age of 18) into sexual activity. A child or young person might believe that they are in a relationship with their abuser. The relationship may fulfil an emotional need for affection, or the abuser may provide physical items such as food, accommodation, alcohol, drugs or gifts.

Child sexual exploitation often includes actual violence or the threat of violence towards the child or their family which may prevent the child from disclosing the abuse or exiting the cycle of exploitation.

There are a few types of Child Sexual Exploitation

- Inappropriate relationships: this usually involves one perpetrator who has inappropriate power or control over the young person. There is often a significant age gap, and the young person may believe they are in a loving relationship.
- 'Boyfriend/girlfriend' model: the perpetrator befriends and grooms the young person into a 'relationship' and then convinces or forces them to have sex with friends or associates. This is sometimes associated with gang activity.
- Organised sexual exploitation: young people are passed through networks, possible over geographical distances, where they are forced into sexual activity with multiple men. This often occurs at 'sex parties' and the young people may be used to recruit others into the network.
- Peer exploitation is where young people are forced or coerced into sexual activity by peers and associates.

Some of the above activity is described as serious organised crime and can involve the organised 'buying and selling' of young people by perpetrators.

Child sexual exploitation does not always involve physical contact. It can also occur using technology such as through phones, tablets, social media and gaming apps. Sometimes young people are exploited by a person they've never met in real life. Child Sexual Exploitation can take place through online grooming in chat rooms, social media and online gaming. A young person may be encouraged to take part in activities including:

- Sexting, the sending or exchanging of sexual content using a phone or any digital device
- Performing sexual acts via webcams
- Posting nude photographs of themselves online
- Viewing inappropriate content online
- Meeting up with the person exploiting them

Someone grooming or exploiting a young person will often use threats or blackmail to maintain contact. These threats can include sharing sexual images of the young person with their family, friends or wider community. For more information see the [Healthy Surrey website](#). Concerns about online sexual abuse or the way someone has been communicating with a child or young person online can be reported to the police, or the safeguarding team at Surrey via the reporting instructions in this document. The **Child Exploitation and Online Protection (CEOP) Child Protection Advisors** provides useful information on the subject and about keeping children safer from online child sexual abuse.

### **Female Genital Mutilation (FGM)**

FGM is when a female's genitals are deliberately altered or removed for non-medical reasons. It's also known as 'female circumcision' or 'cutting' but has many other names.

FGM is a form of child abuse. It's dangerous and a criminal offence in the UK. We know:

- there are no medical reasons to carry out FGM
- it's often performed by someone with no medical training, using instruments such as knives, scalpels, scissors, glass or razor blades.
- children are rarely given anaesthetic or antiseptic treatment and are often forcibly restrained.
- it's used to control female sexuality and can cause long-lasting damage to physical and emotional health.

Further information on FGM is available on the [NSPCC website](#).

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# Corporate Policy & Resources Committee



15 October 2024

<b>Title</b>	<i>2023-24 Reserves Outturn Report</i>
<b>Purpose of the report</b>	To note
<b>Report Author</b>	<i>Paul Taylor Chief Accountant</i>
<b>Ward(s) Affected</b>	All Wards
<b>Exempt</b>	No
<b>Corporate Priority</b>	Community Addressing Housing Need Resilience Environment Services
<b>Recommendations</b>	<b>Committee is asked to note the report.</b>
<b>Reason for Recommendation</b>	<i>This report is a consolidation report and formalises the Committees approved uses of reserves from the 2023-24 Revenue Outturn report (Appendix A) in June 2024. It is a backward looking report, i.e., for the twelve months from 1 April 2023 to 31 March 2024 and provides the complete picture on Council's reserves at 31 March 2024.</i>

## 1. Summary of the report

What is the situation	Why we want to do something
<ul style="list-style-type: none"> <li>When preparing the 2024-25 to 2027-28 Revenue Reserves Strategy report presented to this Committee in February 2024, officers forecast the closing balances as at 31 March 2024 at £58,080k, excluding the General Fund Balances</li> <li>This report provides the Committee with the actual revenue reserves balances at 31 March 2024 of £70,198k, excluding the General Fund balances (see Appendix A below) and an analysis of the variances of £12,118k, excluding the General Fund</li> </ul>	<ul style="list-style-type: none"> <li>This report is to provide Councillors with a reconciliation between the forecast and actual revenue reserves.</li> </ul>

<p>Balance between the forecast and actual revenue reserve balances (see Appendix B below).</p> <ul style="list-style-type: none"> <li>Noting that all the relevant explanations have been provided to and approved by this Committee in the background papers listed below.</li> <li>The 2023-24 Revenue Outturn Report approved by the Committee in June 2024, (see Appendix A of that report) highlights the detailed decision made by this Committee when transferring monies to and from reserves, which agrees to movements shown in note 8 from the Statement of Accounts (see 4.5 below) and the aggregate Earmarked Reserves of £70,198k, excluding the General Fund balance of £3,083k.</li> </ul>	
<p><b>This is what we want to do about it</b></p>	<p><b>These are the next steps</b></p>
<ul style="list-style-type: none"> <li>To note the actual 2023-24 Revenue Reserves as at 31 March 2024</li> <li>This is a consolidation of all the reports mentioned in the list of background papers listed below, for the detailed movement to and from reserves, please refer to appendix A of the 2023-24 Revenue Outturn report, approved by this Committee on 3 June.</li> </ul>	<ul style="list-style-type: none"> <li>To note the report</li> <li>To inform the refreshing of the Reserves Strategy for 2025-26 and the Outline Budget.</li> </ul>

- 1.1 This report seeks to provide Council with a breakdown of the approved Earmarked Reserves and General Fund balances as set out in the draft unaudited Statement of Accounts (Note 8).
  - 1.2 Please note as set out in the Capital & Revenue Reserves Strategy report presented in in February 2024 to Corporate Policy and Resources Committee. Officers are permitted to transfer funds into a reserve, once credited to the reserves, only this Committee can approve the use of the said reserve funds.
  - 1.3 There are two appendices to this report
    - (a) Appendix A – provides a detailed breakdown of actual reserves as at 31 March 2024
    - (b) Appendix B – provides a variance analysis between forecast and actual reserves as at 31 March 2024.
- 2. Key issues**

- 2.1 When preparing the Capital and Revenue Reserves Strategy for 2024-25 to 2027-28 in December 2023, officers are required to estimate the closing position of the reserves at the 31 March 2024. This report provides an explanation of the main variance, set out in Appendix B which have all been approved or notified to Council Report as part of the year end closed down reporting and Outturn reporting.
- 2.2 This report confirms the closing balances, as set out in Appendix A, and the explanations already provided by officers to Council.
- 3. Options analysis and proposal**
- 3.1 Not applicable.
- 4. Financial management comments**
- 4.1 The Council is in a strong position, having in excess of £73 million pounds of cash backed revenue reserves. This is the second highest of any district or borough Council in England, based on the data supplied by LG Improve
- 4.2 During 2023/24 there were a number of factors that had a significant positive impact on the Council's reserves, as set out in in the 2023-24 Revenue Outturn Report:
- (a) An underspend of £3,323k, caused by increased revenue grants for refugee support and Community Infrastructure Levy (CIL) contributions.
  - (b) An additional £990k of interest received, reflecting higher interest rates.
  - (c) The release of a £4,000k provision for landlord expenses, set aside to cover costs to 31 March 2024, that have not materialised.
  - (d) £723k due to the timing difference and accounting concepts on lease incentives for tenants
  - (e) £1,415k in reduced landlord costs.
  - (f) £3,093k National Non-Domestic Rates Surplus, which has been building for a number of years. As advised to this Committee in June, a subsequent review carried out by LGImprove has confirmed that this figure is substantially correct.
- 4.3 This allowed the Council to make the following additional transfers to the Council's Earmarked Reserves to protect the future cashflow and budgets, the primary ones being:
- (a) An additional £7,578k to the Sinking Fund reserves, which reduced the net call, in 2023-24, on the Sinking Fund reserves to £2,678k.
  - (b) £3,100k contribution to the Business Rates Equalisation Reserve, reflecting 4.2(f) above.
- 4.4 £1,000k contribution to the General Fund, £641k more than forecast, increasing the balance to £3.1m
- 4.5 Please note that the proposed £450k movement from the Green Belt Fighting Fund to Planning Development Appeal Reserve was not required for this financial year, as no appeals were heard. However, based on the latest information from the Group Head Place, Protection and Prosperity the transfer will be required, in 2024-25 and an appropriate report requesting this

Committee's approval to transfer the funds to meet the costs of the appeals will be made before the 31 March 2025.

- 4.6 For the full detailed movement on the Council's reserves, please refer to the 2023-24 Revenue Outturn report, Appendix A, which was approved by this Committee in June 2024 and is reflected in the movements in reserves as per note 8 Transfer to and from Earmarked Reserves of the 2023-24 Statement of Accounts shown below:

<b>Earmarked Reserves</b>	<b>31 Mar 23 £'000</b>	<b>Transfers to Reserves £'000</b>	<b>Used in revenue funding £'000</b>	<b>Transfers between Reserves £'000</b>	<b>31 Mar 24 £'000</b>
Revenue Grants unapplied	-5,374	-1,771	1,219	0	-5,926
Capital Fund	-1,443	0	0	0	-1,443
Insurance Fund	-50	0	0	0	-50
Planned Spending Funds	-12,924	-3,101	649	0	-15,376
Funds for acquired properties	-37,716	-8,666	11,023	0	-35,359
Youth Fund	-20	0	0	0	-20
Local Environmental Assessment	-154	0	0	0	-154
Green Belt	-1,093	0	0	0	-1,093
Contributions from Developers	-9,996	-1,402	289	0	-11,109
<b>Earmarked Reserves 31 Mar</b>	<b>-68,770</b>	<b>-14,940</b>	<b>13,180</b>	<b>0</b>	<b>-70,530</b>
<b>General Fund Balance</b>	<b>-2,083</b>	<b>0</b>	<b>-1,000</b>	<b>0</b>	<b>-3,083</b>
<b>Balance carried forward 31 Mar</b>	<b>-70,853</b>	<b>-14,940</b>	<b>12,180</b>	<b>0</b>	<b>-73,613</b>

- 4.7 Appendix B below deals with the main variances between the Capital & Reserves Strategy report submitted and approved in February 2024 and the outturn position, as per note 8 above.

## 5. Risk management comments

### 5.1 Generally

- 5.2 The earmarked reserves as set out in Appendix A, constitute monies set aside for by the Council for future years, in order to mitigate risk.

- 5.3 These funds can only be used for the purpose that they were established and given the future financial pressures that are likely to impact on the Council, going forward, it would be a good opportunity to review the current earmarked reserves and where appropriate repurpose those back into the general fund to assist with the revenue budget or special projects.

### 5.4 Capitalised costs – (direct housing development costs)

- 5.5 As previously reported to Council following the suspension of the direct housing development projects, Council will have to carefully manage the development projects. Currently, Council is looking to develop these sites through third parties, and on the basis that the development costs incurred to date can still be utilised it is appropriate for these costs to remain in the balance sheet. However, the moment it becomes apparent that these costs are redundant or are in need of a major update, they will have to be



transferred to the revenue account and this is where the repurposing exercise in 5.1 above would be extremely useful to reduce the risk of a significant budget deficit.

## 5.6 **Sinking Fund**

5.7 The Sinking Fund has been specifically established to mitigate the risks of the Council's investment property portfolio and in light of 4.3(a) above, the Council has managed to reduce the call on the Sinking Fund Reserve, with 4.2 (b to e) providing the main reasons for this improvement.

5.8 The purpose of the Sinking Fund reserve is:

- (a) to minimise risk and protect the Council's Revenue Budget and Council taxpayers from exposure to **unplanned** short-term dips in income.
- (b) to ensure that the Council build sufficient cash backed reserves to provide future options at each property, including:
  - i) refurbishments (net of dilapidations),
  - ii) development of a site, particularly in 14 years' time in the case of the Sunbury Campus, when the tenant could exercise their lease break and vacate the entire site at Sunbury.
  - iii) Repayment of PWLB Loans in the event of a tenant default.

5.9 Detail any risk implications arising from the report and how these will be mitigated.

## 6. **Procurement comments**

6.1 There are no specific procurement issues arising from this report.

## 7. **Legal comments**

7.1 There are no specific legal implications arising from this report.

## 8. **Other considerations**

8.1 Detail any other considerations to be taken into account.

## 9. **Equality and Diversity**

9.1 Detail how the recommended proposals will impact equality and diversity and mitigation measures being taken.

## 10. **Sustainability/Climate Change Implications**

10.1 Not applicable

## 11. **Timetable for implementation**

11.1 Not applicable

## 12. **Contact**

12.1 [P.taylor@spelthorne.gov.uk](mailto:P.taylor@spelthorne.gov.uk)

**Please submit any material questions to the Committee Chair and Officer  
Contact by two days in advance of the meeting.**

### **Background papers:**

2023-24 Revenue Outturn Monitoring Report, Appendix A (June 2024 Committee Meeting).

2024-25 to 2027-28 Capital & Reserves Strategy Report (February 2024 Committee Meeting).

2023-24 Statement of Accounts – note 8 (Council’s Website)

**Appendices:**

**Appendix A** – detailed breakdown of actual reserves as at 31 March 2024

**Appendix B** – variance analysis between forecast and actual reserves as at 31 March 2024.

Appendix A - 2023-24 Revenue Reserves

17/09/2024

Summary	Rev	Capital	Insurance	Planning	Sinking	Youth	Local	Harper &	Woodhope	Contributions	Total		
	Grants unallpied	fund	Fund	Spending Funds	fund	Fund	Environment Ass Fund	Whitehouse Accom Fund	Shared Property	from developers			
Revenue Grants Unapplied	-5,926										-5,926		
Capital Fund		-1,443									-1,443		
Social Housing and Initiatives				-1,720							-1,720		
NSF Revenue				-1,221							-1,221		
Interest Equalisation Reserve				-493							-493		
Bridge Street car park reserve				-25							-25		
Sinking funds					-35,038						-35,038		
Building Control				-163							-163		
Environmental Impact Reserve							-154				-154		
Planned Projects Fund				-1,434							-1,434		
Planning PerformAgreemen Reser				-286							-286		
CIL Admin Reserve										-275	-275		
CIL Local Reserve										-1,604	-1,604		
CIL Strategic Reserve										-7,154	-7,154		
White House								-72			-72		
Harper House								-32			-32		
S106 Reserve										-620	-620		
Green Initiative										-579	-579		
Local Plan Reserve										-46	-46		
Planning DevelopAppeal Reserve										-36	-36		
Inflation Reserve										-429	-429		
Green Belt								-900			-900		
Woodthorpe & Fordingbridge										-80	-80		
BronzeField Maintenance Reserve				-171							-171		
Insurance Fund Reserve			-50								-50		
PDG Reserve				-50							-50		
Carry Forward Reserve				-257							-257		
NNDR				-400							-400		
Business Rates Equalisation Reserve				-9,157							-9,157		
Youth Council						-20					-20		
Open Stanwell										-22	-22		
Play Facility London Irish										-1	-1		
Hengrove Park										-100	-100		
Stanwell New Start										-241	-241		
<b>Total Earmarked Reserves</b>	<b>-5,926</b>	<b>-1,443</b>	<b>-50</b>	<b>-15,375</b>	<b>-35,038</b>	<b>-20</b>	<b>-154</b>	<b>-900</b>	<b>-104</b>	<b>0</b>	<b>-80</b>	<b>-11,108</b>	<b>-70,198</b>
<b>Balance on reserves per SoA note 8</b>	<b>-5,926</b>	<b>-1,443</b>	<b>-50</b>	<b>-15,375</b>	<b>-35,038</b>	<b>-20</b>	<b>-154</b>	<b>-900</b>	<b>-104</b>	<b>0</b>	<b>-80</b>	<b>-11,108</b>	<b>-70,198</b>
Control	-0	0	-0	-0	0	0	-0	0	-0	0	-0	-0	-0
General fund													

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## Appendix B - 2023-24 Revenue Reserves

09/09/2024

Summary		Actual Reserves	Forecast Reserves	Variance	Commentary on variances over £50k
Revenue Grants Unapplied	90402	-5,926	-5,325	-602	Additional grant income received in year to be spent over next few years
Capital Fund	93101	-1,443	-1,443	0	
Social Housing and Initiatives	93103	-1,720	-2,136	416	2023/24 Revenue Outturn report - £416k housing initiatives
NSF Revenue	93105	-1,221	-1,221	0	
Interest Equalisation Reserve	93107	-493	-493	0	
Bridge Street car park reserve	93108	-25	-25	-0	
Sinking funds		-35,038	-27,784	-7,254	2023-24 Revenue Outturn report an additional £6,875k was transferred to the Sinking Fund, together with reduced refurbishment costs and landlord costs.
Building Control	93130	-163	-163	0	
Environmental Impact Reserve	93131	-154	-154	0	
Planned Projects Fund	93132	-1,434	-1,434	0	
Planning PerformAgreemen Reser	93133	-286	-286	0	
CIL Admin Reserve	93140	-275	-259	-16	
CIL Local Reserve	93141	-1,604	-1,460	-144	2023-24 Revenue Outturn Report - Additional funds received
CIL Strategic Reserve	93142	-7,154	-6,075	-1,079	2023-24 Revenue Outturn Report - Additional funds received
White House	93143	-72	-39	-33	
Harper House	93144	-32	-15	-17	
S106 Reserve	93145	-620	-465	-155	2023/24 Revenue Outturn Report - utilisation of S106 monies
Green Initiative	93146	-579	-558	-22	
Local Plan Reserve	93147	-46	-46	0	
Planning DevelopAppeal Reserve	93148	-36	-486	450	Planned transfer from Green Belt funds has not taken place in 2023-24
Cost of Living Reserve	93149	-429	-191	-238	2023-24 Revenue Outturn Report - underspend in year to be carried forward
Green Belt	93151	-900	-450	-450	Planned transfer to Planning Development Appeal Reserve has not taken place in 2023-24
Shared Prosperity Fund		0		0	
Woodthorpe & Fordingbridge	93153	-80	-80	0	
BronzeField Maintenance Reserve	93302	-171	-226	55	Planned expenditure was deferred until next year.
Insurance Fund Reserve	93305	-50	-50	0	
PDG Reserve	93307	-50	-50	0	
Carry Forward Reserve	93308	-257	-257	0	
NNDR	93309	-400	-541	141	2023-24 Revenue Outturn report - contribution to Economic Development salaries, year end adjustment.
Business Rates Equalisation Reserve	93310	-9,157	-5,987	-3,170	As per the 2023-24 Revenue Outturn report and additional £3,000k was transferred to this reserve while officers reviewed the Collection Fund
Youth Council	93314	-20	-20	0	
Open Stanwell	93608	-22	-22	0	
Play Facility London Irish	93613	-1	-1	0	
Hengrove Park	93651	-100	-100	0	
Stanwell New Start	93655	-241	-241	0	
<b>Total Earmarked Reserves</b>		<b>-70,198</b>	<b>-58,080</b>	<b>-12,118</b>	
General Fund		-3,083	-2,482	-601	2023-24 Revenue Outturn report an additional £600k was approved to be transferred to the General Fund
<b>Total Reserves</b>		<b>-73,281</b>	<b>-60,562</b>	<b>-12,719</b>	

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# Corporate Policy and Resources



15 October 2024

<b>Title</b>	Amendment to Treasury Strategy 2024/25
<b>Purpose of the report</b>	An amendment to the Treasury Management Strategy to allow use of Pooled Strategic Funds to fund the Capital Programme and minimise impact of high borrowing costs
<b>Report Author</b>	Prithiva Janaka, Treasury Management and Capital Accountant
<b>Wards affected</b>	All Wards
<b>Exempt</b>	No
<b>Corporate Priority</b>	Community Addressing Housing Need Resilience Environment Service delivery
<b>Recommendations</b>	<b>Committee is asked to recommend to Council to:</b> <b>1. Approve the amendment to Treasury Management Strategy for 2024/25 as set out in this report.</b>
<b>Reason for Recommendation</b>	<b>To allow draw down of the strategic pooled investment funds (currently £35m) to help to minimise further additional borrowing</b>

## 1. Introduction

The Treasury Management Strategy for 2024-25 was agreed by Council 22 February 2024, with some amendments made by Council at its meeting of 25<sup>th</sup> April to the borrowing limits. The Strategy currently includes the maintenance of investments in Pooled Investment Funds of approximately £35m. See Appendix 1 for a summary of the current Funds and their balances.

## Summary of the report

What is the situation	Why we want to do something
<ul style="list-style-type: none"> <li>• The Council have a statutory responsibility to review and approve the Treasury Management Strategy annually before the beginning of the new financial year, and any major changes to the strategy they wish to adopt during the financial year</li> <li>• The Council has both a significant debt portfolio (most of which is at fixed rates) of £1,068m and equally investment funds both pooled and cashflow, of £41.6m.</li> <li>• The Council has recently achieved practical completion (PC) on Phase 1 of its new Eclipse leisure centre and needs to focus on securing the balance of funding for the centre on a longer-term basis</li> <li>• The Council has a portfolio of pooled investment funds of approximately £35m at 31/08/24 to deliver an investment return which over the last decade has average 4%</li> <li>• The Council needs to seek to minimise financing costs whilst maximising returns on surplus funds</li> </ul>	<ul style="list-style-type: none"> <li>• Treasury management is crucial to the Council's cash flow, investment and borrowing to mitigate the risk we should plan a head on               <ul style="list-style-type: none"> <li>○ Operational Limit</li> <li>○ Authority limit</li> <li>○ Diversify investment.</li> <li>○ Borrowing</li> </ul> </li> <li>• To fund major capital projects and avoid the need for further borrowing</li> <li>• With PC of Eclipse, it is now timely to review options for financing the balance which include:               <ul style="list-style-type: none"> <li>○ Drawing down investment funds, or</li> <li>○ Retaining flexibility by rolling forward short-term financing before fixing when rates fall further,</li> <li>○ Using drawn down funds to pay off PWLB balances at discounted rates</li> </ul> </li> <li>• The preferred option is to draw down funds as an alternative to additional borrowing</li> <li>• Council has significant existing debt and is in the spotlight with respect to borrowing levels</li> <li>• Whilst interest rates have started to ease, they are still relatively high</li> </ul>
This is what we want to do about it	These are the next steps
<ul style="list-style-type: none"> <li>• Make a strategic decision as to whether to continue with the portfolio of pooled investment funds or drawn them down</li> <li>• Mitigate risk by diversifying investment and minimising borrowing.</li> <li>• Continuing to seek professional advice from our advisers</li> </ul>	<ul style="list-style-type: none"> <li>• Review and approve the amendment to the Treasury management Strategy 2024/25 by Corporate Policy and Resource Committee and the Council.</li> <li>• If the funds are drawn down, it needs to be done in a managed way to minimise any capital losses</li> </ul>



- 1.1 The objective of this Treasury Strategy Report is to seek the Council's approval to draw down the Pooled Investment Funds of £35m, to cover the treasury needs for additional borrowing required for the capital programme, including Spelthorne Leisure centre, on a long-term basis.
- 1.2 By drawing down the Pool funds, even though Council will forfeit a potential return on investment of £1.3m per annum, it will save on loan interest payments per annum of £1.8m (£35m @ 5%) on additional borrowing foregone. This is subject economic climate and movements in interest rates, it might be higher or lower.
- 1.3 The Treasury Management Strategy aims to protect the Council from market-related risks by monitoring interest rates, economic indicators, and UK and overseas government finances. A range of information sources is used to inform economic analysis and forecasts.

## **2. Operational Analysis and Proposals**

- 2.1 Treasury risk management at the Authority is conducted within the framework of the Chartered Institute of Public Finance and Accountancy's Treasury CIPFA Code) which requires the Authority to approve a treasury management strategy before the start of each financial year. This report fulfils the Authority's legal obligation under the Local Government Act 2003 to have regard to the CIPFA Code.

### **Summary position**

- 2.2 On 31<sup>st</sup> August 2024, the Council held £1,068m of long-term borrowing, all long-term fixed rate loans with Public Works Loan Board (PWLB), £21.0m of short-term borrowing from other Local Authorities, £41.1m of treasury investments and £763.1m of non-treasury investment property. Overall, the Council has a net borrowing position of £263.8m. This detailed in Table 1 below. If the Pooled Funds are drawn future borrowing will be reduced therefore saving in debt interest payments.

**Table 1: Current Investment & Debt Portfolio**

As at 15.09.2024	Actual Portfolio
	£m
<b>External Borrowing:</b>	
Public Works Loan Board	(1,068.0)
Local Authorities (short term)	0.0
<b>Total Gross External Debt</b>	<b>(1,068.0)</b>
<b>Long-Term Investments:</b>	
Pooled Fund Investments	35.0
Funding Circle	0.0
<b>Short-Term Investments:</b>	
Local Authorities	0.0
Fixed Rate Deposits	0.0
Money Market Funds	6.1
<b>Total Investments</b>	<b>41.1</b>
Net (borrowing)/ investments	(1,026.9)
<b>Non-treasury investments:</b>	
<b>Investment property (as at 15.09.24)</b>	<b>763.1</b>
<b>Overall net borrowing</b>	<b>(263.8)</b>

- 2.3 The underlying need to borrow for capital purposes is measured by the Capital Financing Requirement (CFR), while usable reserves and working capital are the underlying resources available for investment. The Council's current strategy is to maintain borrowing and investments below their underlying levels, also known as internal borrowing. Forecast changes in the CFR, investments and borrowing are shown in Table 2 below.

**Table 2: Capital Financing Requirement**

	Audited Actual	Draft Actual	Revised Estimate	Estimate	Estimate
	31.03.2023	31.03.2024	31.03.2025	31.03.2026	31.03.2027
	£m	£m	£m	£m	
Opening CFR	1,117.7	1,170.0	1,176.8	1,165.9	1,152.2
In-year movement (below)	52.3	6.8	(10.9)	(13.6)	(13.2)
<b>Closing CFR</b>	<b>1,170.0</b>	<b>1,176.8</b>	<b>1,165.9</b>	<b>1,152.2</b>	<b>1,139.0</b>
Less: External borrowing	(1,096.5)	(1,072.0)	(1,061.1)	(1,047.5)	(1,034.3)
Internal borrowing	73.5	104.8	104.8	104.7	104.7
<i>Capital programme:</i>					
Housing & Regeneration	63.8	21.0	0.0	0.0	0.0
Other capital expenditure	3.4	3.1	4.4	2.6	2.5
<b>Total Capital Expenditure</b>	<b>67.2</b>	<b>24.2</b>	<b>4.4</b>	<b>2.6</b>	<b>2.5</b>
<i>Financing:</i>					
Capital Receipts	(0.7)	(2.3)	(0.3)	(0.3)	(0.2)
Capital Grants and Contributions	(1.0)	(1.3)	(0.9)	(0.9)	(0.9)
Lease Funding	0.0	(0.9)	(0.9)	(0.9)	0.0
<b>Net Financing Need</b>	<b>65.5</b>	<b>19.7</b>	<b>2.3</b>	<b>0.5</b>	<b>1.3</b>
Less: Minimum Revenue Provision (MRP)	(12.4)	(12.9)	(13.2)	(14.1)	(14.5)
<b>In-year movement in CFR</b>	<b>53.1</b>	<b>6.8</b>	<b>(10.9)</b>	<b>(13.6)</b>	<b>(13.2)</b>

- 2.4 The £31.5m increase in Internal Borrowing between 31.3.2023 and 31.3.2024 has funded the Major Capital Projects including the Spelthorne Leisure Centre, and has been covered by short-term borrowing from other local authorities and is thus unsustainable in the long term. It should be replaced either with the drawing down of Pooled Investments as recommended, or by long term external borrowing.
- 2.5 As the estimated balance of Pooled Investment Funds is relatively close to the increase in internal borrowing experienced since 31.3.2023, it is recommended that we drawdown the whole balance of Pooled Investment Funds.
- 2.6 The Council's planned Capital Programme for the next 4 yrs. (including 2024/25) is given on the Table above, major spendings are on the Council's housing delivery (Property acquisition of temporary accommodation for families and settlement accommodation for Afghan and Ukrainians) to top up the Local Authority Housing Fund grant) for the and regeneration programme and on service projects such as the new Leisure Centre, phase 1 of which has just completed with the new Eclipse Leisure Centre opening in mid-October.

- 2.7 The Authorised Borrowing Limit has been increased £1,167m to £1,170m and Operational Boundary from £1,067m to £1,270m in April 2024 for 2024/25. These are considered appropriate for the above projections but will be reviewed and revised as needed to reflect borrowing requirements in future years. As can be seen in the above table the anticipated external borrowing figure falls below both limits.
- 2.8 CIPFA's *Prudential Code for Capital Finance in Local Authorities* recommends that an authority's total debt be lower than its highest forecast CFR over the next three years. Table 2 above shows that the Council expects to comply with this recommendation for 2024/25

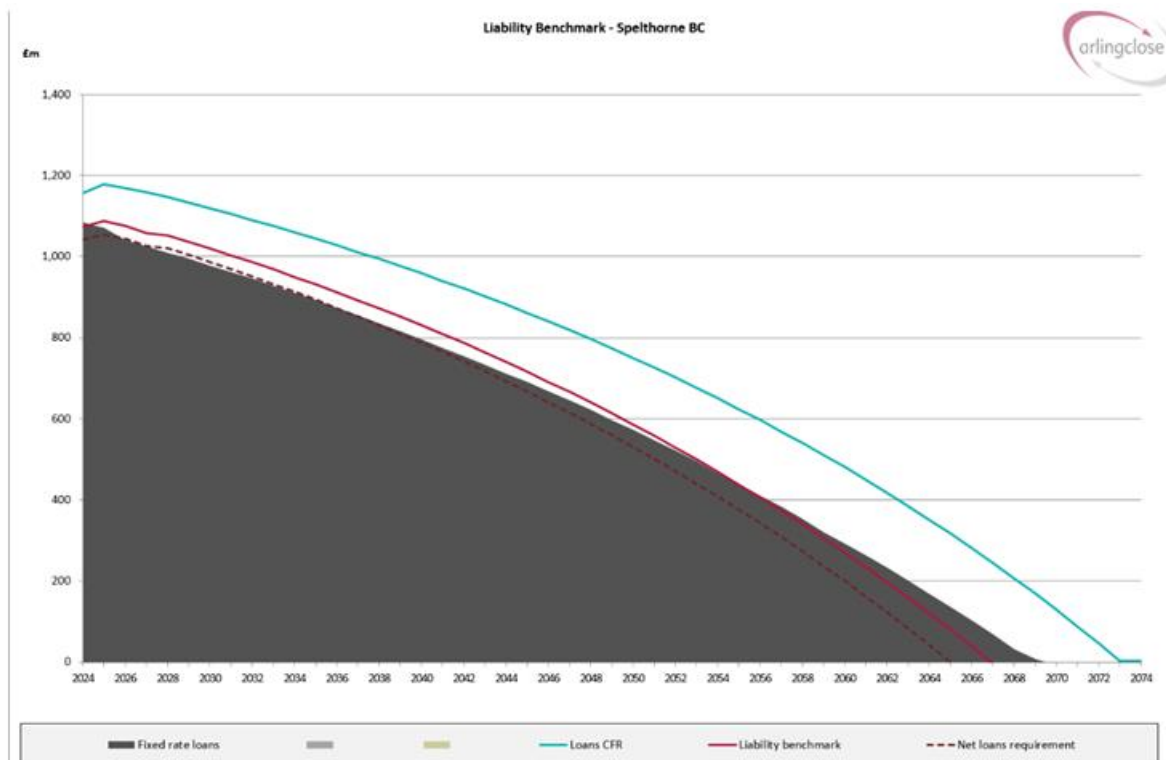
### Local context - Liability benchmark

- 2.9 To compare the Council's actual borrowing against an alternative strategy, a liability benchmark (a measure of risk outlined in the CIPFA TM Code and now required to be reported on for future years) has been calculated showing the lowest risk level of borrowing, as shown at Table 3. This assumes the same forecasts as Table 2 above, but that cash and investment balances are kept to a minimum level of £20m at each year-end to maintain sufficient liquidity but minimise credit risk.

**Table 3: Liability benchmark**

	Audited Actual 31.03.2023	Draft Actual 31.03.2024	Estimate 31.03.2025	Estimate 31.03.2026	Estimate 31.03.2027
	£m	£m	£m	£m	£m
CFR	1,170.0	1,190.3	1,183.5	1,183.0	1,174.0
Balance Sheet resources	(111.0)	(113.0)	(119.0)	(113.0)	(113.0)
Minimum cash for liquidity	20.0	20.0	20.0	20.0	20.0
Liability benchmark	1,079.0	1,097.3	1,084.5	1,090.5	1,081.0

- 2.10 The liability benchmark indicates that the required level of borrowing is forecast to be £1,085m as at 31 March 2025 after taking into account other resources such as usable reserves and the minimum level of cash for liquidity of £20.0m.
- 2.11 Following on from the medium-term forecasts in table 2 above, the longer-term liability benchmark shows the level of borrowing that will be required in future years – consistently low at around £0.1m to £0.2m (the gap under the top, green line). The Council will be working with Arlingclose to further develop this modelling to help identify and apply internal resources effectively.



2.12

### 3. Borrowing and Investment Strategies

#### Borrowing Strategy

- 3.1 The Council currently holds £1,068.0m of loans, which it is paying off on an annual basis (Table 1) as part of its strategy for funding previous years' capital programmes. The Council was debt-free before 2016/17, when the decision was taken to make strategic property acquisitions based on the opportunities available, with the important caveat that Council has no intention to buy investment assets primarily for yield. The forecast in Table 2 shows that the Council expects outstanding borrowing to be a maximum of £1,068m in 2024/25.
- 3.2 The revised draft Capital Programme budget for 2024/25 has been set at £24.2m, net of funding this is a reduction of almost 36% from 2023/24 mainly due to a number of programmes other than Spelthorne Leisure Centre being suspended. A proportion of rental income from existing investment property is set aside to increase sinking fund earmarked reserves, which contribute towards financing of future property-related costs. This is to help ensure, given the relatively illiquid nature of property assets, the Council does not get into a forced sale position on an asset if its income dips for a temporary period.
- 3.3 **Objectives:** The Council's chief objective when borrowing money is to strike an appropriately low risk balance between securing low interest costs and achieving certainty over those costs over the period for which funds are required. The flexibility to renegotiate loans should the Council's long-term plans change is a secondary objective.
- 3.4 **Strategy:** Given the significant cuts to public expenditure and in particular to local government funding, the Council's borrowing strategy continues to address the key issue of affordability without compromising the longer-term stability of the debt portfolio.

- 3.5 With interest rates falling, we want to avoid fixing long term at rates which may then subsequently fall. By doing so, the Council is able to reduce net borrowing costs (despite foregone investment income) and reduce overall treasury risk.
- 3.6 The benefits of internal and short-term borrowing will be monitored regularly against the potential for incurring additional costs by deferring borrowing into future years when long-term borrowing rates are forecast to rise modestly. Arlingclose will assist the Council with this 'cost of carry' and breakeven analysis, the result of which will help determine whether the Council borrows additional sums at long-term fixed rates in 2024/25 with a view to keeping future interest costs low and gaining long term value for money even if costs are higher in the immediate to short term.
- 3.7 The Council has previously raised the majority of its long-term borrowing from the PWLB, which remains a relatively good option particularly as it was fixed at relatively low interest rates. Government guidance now prohibits authorities that have 'investments for yield' (which the Council does not intend to have) from accessing PWLB loans.
- 3.8 The Council is working with Arlingclose to identify alternative funding options for funding the balance of the reduced Capital Programme.
- 3.9 In addition, the Council may borrow short-term when needed to cover unplanned cash-flow shortages.

#### 4. Financial implications

- 4.1 The MHCLG Guidance and the CIPFA TM Code do not prescribe any particular treasury management strategy for local authorities to adopt. The Chief Financial Officer believes that the above proposed strategy amendment represents an appropriate balance between risk management and cost effectiveness. The strategy amendment proposal has been drawn up in consultation with the Council's independent treasury and investment advisers, to ensure a prudent and robust approach in the strategy.
- 4.2 As stated in section 1, through drawing down on the Pooled Investment Funds, the Council will forfeit a potential return on investment of £1.3m per annum but will save on loan interest payments per annum of £1.8m – a net gain of £0.5m per annum.
- 4.3 The drawdown of Pooled Investment Funds represents a cash movement, replacing one type of asset with another. It will only have an effect on the reserves held by the Council if it generates a gain or loss on sale. Otherwise, it will **not** impact the total value of assets held by the Council, and therefore **does not change the reserves** held by the Council.



- 4.4 This drawdown will cover treasury needs for additional borrowing required for the capital programme, including Spelthorne Leisure centre, on a long-term basis.
- 4.5 Some alternative strategies, with their financial and risk management implications, are listed below in Table 11.

**Table 11: Alternative strategies**

<b>Alternative</b>	<b>Impact on income and expenditure</b>	<b>Impact on risk management</b>
Invest in a narrower range of counterparties and/or for shorter times	Lower investment sums resulting in less Interest income	Lower chance of losses from credit related defaults although such losses may be greater.  Also, less diversity increases risk of losses.
Invest in a wider range of counterparties and/or for longer times	Interest income will be higher with increased investment sums	Increased risk of losses from credit related defaults, but any such losses may be smaller.  Increased diversity also decreases the risk of significant loss.
Borrow additional sums at long-term fixed interest rates (not in advance of need)	Debt interest costs will rise; this is unlikely to be offset by higher investment income	Higher investment balance leading to a higher impact in the event of a default. However long-term interest costs may be more certain
Borrow short-term or variable loans instead of long-term fixed rates	Debt interest costs will initially be lower	Increases in debt interest costs will be broadly offset by rising investment income in the medium term, but long-term costs may be less certain
Reduce level of borrowing	Reduced debt interest costs  Less income for funding projects  Saving on debt interest is likely to exceed lost investment income	Reduced investment balance leading to a lower impact in the event of a default; however long-term interest costs may be less certain  Less resources available for the Capital Programme which would need to be reduced

**5. Procurement considerations**

Not applicable

**6. Legal considerations**

The Council has a statutory obligation, under The Local Government Act 2003 to approve and publish its Treasury Management Strategy. The Council has a statutory obligation to have regard to the Treasury Management and Prudential Codes

**7. Other considerations**

Not applicable.

**8. Equality and Diversity**

Not applicable

**9. Sustainability/Climate Change Implications**

The Corporate Policy and Resources Committee had agreed the parameters to be used in its Environmental, Social and Governance (ESG) strategy, the strategy has yet to be agreed. One of the intentions of developing an ESG strategy is to enable the Council to transition the investment portfolio to a more sustainable and environmentally sound approach. However, if Council agrees to draw down the pooled investment funds the above ESG parameters will cease to be applicable as we will not have need to evaluate funds against ESG criteria.

**10. Timetable for implementation**

If Council approves at its meeting on 24<sup>th</sup> October, officers will work with Arlingclose to draw down the funds. Some will take longer to close and transfer funds back.

**11. Contact**

Prithiva Janaka [p.janaka@spelthorne.gov.uk](mailto:p.janaka@spelthorne.gov.uk)

**Background papers:** None

**Appendices:**

Appendix 1: Summary of current pooled investment funds

Appendix 2: Break down of Capital Programme



## CURRENT INVESTMENTS ANALYSIS

Appendix 1

### Core Investment Portfolio

**Valuation**  
**31/08/2024**

#### Pooled Investment Funds (7706)

WS Charteris Premium Income Fund	753,953
Schroders UK Corporate Bond Fund	1,584,507
Schroders Income Maximiser Fund	5,555,344
M&G Global Dividend Fund	6,586,866
M&G Optimal Income Sterling	1,595,099
M&G UK Income Distribution Sterling	1,872,535
Ninety One Diversified Income	3,956,145
Threadneedle Inv Services - UK Equity	4,359,206
Threadneedle Global Equity Fund	2,004,148
CCLA - The LAs Property Fund	1,822,362
CCLA - The LAs Property Fund	1,040,539
UBS Multi- Asset Income Fund	1,190,190
Aegon Diversified Monthly Income Fund	2,849,529

#### **Total - Core Investment Portfolio**

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35,170,422

#### Cash Flow Investments - 83105

Federated - Class 4 (ICD Portal)	6,061,000
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6,061,000

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**41,231,422**

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Break Down of Capital Programme (For Table 2)			2023/24	2024/25	2025/26	2026/27	2027/28
<b>Housing and Regeneration</b>							
Spelthorne Leisure Centre	HsgReg	Hsg	7,253	18,845			
Ashford MSCP Residential Scheme	HsgReg	Hsg	8,000				
Whitehouse - Design Fees & Construction Pha	HsgReg	Hsg	0	97			
Thameside House	HsgReg	Hsg	1,600				
Victory Place (Ashford Hospital car park site)	HsgReg	Hsg	9,000				
Oast House	HsgReg	Hsg	3,000				
Property acquisition for families	HsgReg	Hsg	6,060				
Separate Search Moves	HsgReg	Hsg	50				
Elmsleigh Centre	HsgReg	Hsg	2,000				
William Hill	HsgReg	Hsg	200				
Tothill MSCP	HsgReg	Hsg	500				
Decathlon Unit	HsgReg	Ser		150			
Elmsleigh Centre WCs	HsgReg	Regn	50	55			
Ashford Community Centre			3,500				
Cedars Rec Toilet block			250				
Greeno Rec			1,200				
Manor Park Pavilion			750				
Project A			20,000				
Revelstoke			400				
Sandhills Meadow Bridge - Contribution	HsgReg	Regn		200			
Production of strategy to inform about dispos	HsgReg	Regn		50			
31 Hanworth Road – secure approval to enter	HsgReg	Hsg		1,000			
Demolishing of Thameside House(Growth)	HsgReg	Hsg		600			
Demolishing of Kingston Road(Growth)	HsgReg	Hsg		40			
			63,813	21,037	0	0	
<b>Other Capital Expenditure</b>							
Disabled Facilities Mandatory			943	1,025	943	943	943
Disabled Facilities Discretion(Growth)			30	60	60	60	60
Replacement refuse vehicle			80	80			
Procurement of new food waste vehicles				400			
County Transit Site			127	127			
Replacement Spelride Bus			100	100			
Wheelie Bins (Growth)			50	55	55		
Laleham Park- Portacabins				93			
River Ash Boardwalk			150	150			
Air Quality			25				
Car Park Management System update in Elmsleigh Surface+MSCP			250	250			
PCN/Permit/Season Ticket management and issuance management system			50	55			
Supply of 5 new CCTV cameras in Shepperton				35			
KG Car Park Improvements			20				
Centros Upgrade - systems and processes			30	194			
Centros Upgrade - systems and processes			190	126			
Leisure Board			15				
Scan Digital Rollout			20				
Recabling			200				
Customer Portal			8				
Customer Services Contact Cent			34				
Capita API Webcapture integration (Growth)				70			
General Hardware, Software and Mobiles (Growth)				20			
General Hardware - Homeworking Kit				46			
General Hardware - Tablets/Mobile (Growth)				31	21		
Service Delivery Hardware Printers				38			
SharePoint redesign & Relaunch			70	155			
General ICT Equipment			50				
Storage Area Network			250				
General Hardware, Software and Mobiles/Tablets			50				
VDI Hosts			60				
Network Infrastructure			170				
Forward Scanning			20				
Digital Spelthorne			50				
SharePoint redesign & Relaunch			155				
Corporate EDMS Project			231				
Acquisition of GovTech				20			
Electric Van for Jet(Growth)					110		
New Market Stalls(Growth)					50		
Replace 4 remaining Spelride buses for Electric(Growth)					500		
Electric Power Supply enhancement(Growth)					450		
Carbon reduction initiatives(Growth)					1,561	1,406	
Air Source Heat Pump (Knowle Green; White House Depot; Laleham Nursery; Shepperton Preschool; Fordbridge DC; Greeno DC; Staines CC(Responsive & Service Delivery Hardware Infrastructure (Growth)					121	173	173
River Thames Scheme					500		1,300
			3,428	3,130	4,371	2,582	2,476
Total			67,240	24,167	4,371	2,582	2,476

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# Corporate Policy & Resources Committee



14 October 2024

<b>Title</b>	Proposed Finance Service Partnership with Mole Valley District Council (MVDC)
<b>Purpose of the report</b>	To make a decision
<b>Report Author</b>	Terry Collier Chief Financial Officer
<b>Ward(s) Affected</b>	All Wards
<b>Exempt</b>	No, except for Appendix 5, staffing structure
<b>Exemption Reason</b>	Appendix 5 contains 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 Paragraphs 1 and 2 – Information relating to an individual or is likely to reveal the identity of an individual and in all the circumstances of the matter, the public interest in maintaining the exemption outweighs the public interest in disclosing the information because, disclosure to the public would reveal personal data and breach confidentiality.
<b>Corporate Priority</b>	Resilience Services
<b>Recommendations</b>	<p><b>Committee is asked to:</b></p> <ol style="list-style-type: none"> <li>1) Approve the creation of a Joint Finance Partnership between Mole Valley District Council and Spelthorne Borough Council;</li> <li>2) Approve the Heads of Terms (HoTs) for an Intra-Authority Agreement between the two Councils as set out at Appendix 2 and delegate authority to the Council's Section 151 Officer and the Interim group head of Corporate Governance to finalise all necessary legal arrangements and agreements to implement the partnership in line with the HoTs;</li> <li>3) Approve the creation of a Joint Partnership Board and its terms of reference as outlined in Appendix 3 to provide the scrutiny and governance function for the partnership;</li> <li>4) Approve the staff structure for the partnership outlined at Appendix 4, subject to consultation and delegates authority to the Section 151 officer to approve any amendments to the structure following</li> </ol>

	consultation; and  5) Approve the partnership budget outlined in Appendix 5.
<b>Reason for Recommendation</b>	The recommendations will ensure that this project, which is designed to deliver increased resilience of the financial service, improve recruitment and retention, generate efficiencies and deliver savings, is progressed with appropriate scrutiny, and governance and risk mitigation arrangements in place.

## 1. Summary of the report

What is the situation	Why we want to do something
<ul style="list-style-type: none"> <li>Finance is one of many service areas where it is difficult to recruit and retain professional staff and at the same time there are significant workload pressures on the Finance function.</li> <li>The Business case for the proposed Joint Finance team has previously been considered both by this Committee and by the Members Collaboration Working Group.</li> </ul>	<ul style="list-style-type: none"> <li>To improve resilience of the financial practice, aid recruitment and retention, drives financial process improvements (paragraph 3.9) and deliver some financial savings (paragraph 4.5) for both Councils.</li> </ul>
This is what we want to do about it	These are the next steps
<ul style="list-style-type: none"> <li>Create a Joint Finance team between Mole Valley and Spelthorne Councils and go fully live in April 2025.</li> </ul>	<ul style="list-style-type: none"> <li>Approve the proposed Heads of Terms (Appendix 2)</li> <li>Approve the creation of a Joint Partnership Board (Appendix 3)</li> <li>Approve the staffing structure (Appendix 5)</li> <li>Provisionally approve the Partnership Budget (Appendix 4)</li> </ul>

## 2. Key issues

- 2.1 In February 2022 Corporate Policy and Resources Committee considered the principles of collaboration for Mole Valley District Council (MVDC) to collaborate with other local authorities which included initial details in relation to a proposed finance partnership for transactional financial services that was consistent with those principles. Following the endorsement of the proposals,

a draft shared service structure, memorandum of understanding and draft budget for the partnership were prepared. Unfortunately, due to various reasons, the proposals did not progress as quickly as intended.

2.2 As the report to February 2022 Corporate Policy and Resources Committee set out the proposed drivers were:

- Improving the resilience of the financial function across both councils, for example strengthening the systems administration function.
- Helping to improve the ability of the two Councils to recruit and retain skilled financial professionals
- Align best practice across the two teams and drive that best practice forwards particularly by better using the full functionality of the Centros platform
- Seek to deliver some financial savings for both Councils
- Revised finance partnership proposals that sought to widen the partnership to provide the full finance (management accounting as well as transactional finance and accounts) service with an option to further extend the partnership in future to include the revenues service have now been worked up with MVDC.

### **3. Options analysis and proposal**

3.1 In the KPMG report commissioned by all Surrey D&Bs to explore opportunities for collaboration, SBC and MVDC were listed as potential partners in a number of scenarios, particularly within 'Option 2b' which was the favoured clustering of authorities if a two-unitary model of local government is adopted in Surrey in future. In addition, options for sharing council tax and business rates services were identified as a potential opportunity for collaboration.

3.2 Unlike some of the closer geographical neighbouring authorities, SBC and MVDC have the same supplier of finance and revenues systems and therefore a natural alignment occurs between the two authorities. As MVDC's financial system is end of life and will go out of service support in the short to medium term, there is a need to replace the finance system but also keep in line with the Council's Digital Strategy. MVDC's finance system has not been developed or upgraded for a significant number of years and is no longer fit for purpose for modern finance functions. The option of collaboration with Spelthorne (with the recently upgraded version of the same system) and taking advantage of the collaboration opportunities between the authorities is an attractive option.

3.3 This alignment is also strengthened by the fact two senior officers at SBC have previously worked at MVDC.

3.4 For Spelthorne, following on from the significant inflation pressures of the Cost of Living Crisis and economic impacts of the COVID-19 pandemic, the Council is facing a more challenging medium term financial future with significant budget gaps in the Medium Term Outline Budget period.

3.5 Both Councils face significant funding uncertainty after the general election when business rates will be reset and the Fair Funding review potentially implemented. In this context it is key that both Councils have a resilient

finance function with the right professional skills to support and help move forward the necessary business transformation required to close the gaps.

- 3.6 As stated above SBC and MVDC share common financial platforms. The outgoing Chief Accountant (Deputy Chief Finance Office) at Spelthorne prior to joining SBC was Chief Accountant at MVDC which means they have a got understanding of the opportunities a joint team could generate. The SBC Chief Finance Officer (S151) before joining SBC worked at MVDC.
- 3.7 The Proposal is to create a fully integrated shared finance service between SBC and MVDC which will be hosted by SBC.
- 3.8 As part of the proposal, significant development to the ICT systems used to deliver these services will also be undertaken. However, each authority will retain its own individual Section 151 Officer.
- 3.9 The key objectives of the Partnership are:
- To achieve a modest level of staff savings and ICT costs and contribute towards the financial sustainability of each authority
  - To have one financial system for both authorities (SBC's Centros system) and deliver on-going development of the system for both authorities (thereby replacing MVDCs current financial system)
  - To provide Resilience – like virtually all district and borough councils, MVDC and SBC operate small finance teams in order to deliver value for money for their Councils. They carry no 'surplus' resource, and the teams are constructed to deliver just what is needed by the Council and no more. However, this does create a vulnerability in relation to resilience, whenever one or more posts becomes vacant. This can be particularly challenging in relation to certain functions, (such as Systems Accountant or Treasury Management Accountant), which are generally undertaken by a single member of staff. It is proposed that in a larger combined Team it will be both easier to cover for vacancies generally, and to spread skills across a number of people, reducing reliance on a single person.
  - To improve Recruitment and Retention of staff – The above issues of resilience are made more challenging by difficulties in relation to recruitment and retention. Recruitment and retention of local government professionals is challenging. As teams have become smaller in the drive for efficiencies, it has become ever harder to recruit and retain appropriately skilled staff, as opportunities for career development are by definition more limited in small teams. People who put the effort and time into gaining accountancy and revenues skills and qualifications are generally very career focused and willing to move employers in order to progress their careers. There is also significant competition from 'agencies and outsourced providers' who are able to employ skilled staff on higher salaries than Council's and then sell their services into Council's at a premium cost. Councils are often left with little option but to employ this more expensive resource due to the skilled shortages in the labour market. This issue is further compounded by a significant reduction in the training of Chartered Institute of Public Finance and Accountancy (CIPFA) qualified public sector accountants nationally, over the past decade, as public sector budgets have been squeezed. As a



result, it has become increasingly difficult to attract accountants with the appropriate skills, qualifications and experience, as in a number of areas, local government accounting requirements are materially different from the private sector. It is proposed that in a larger Partnership environment, greater career development opportunities can be built into the design of the staffing structure, and that by its very nature, a multi-authority service will be more attractive to some individuals in terms of experience and career development.

- To share best practice between the councils and work together to improve the efficiency of financial processes.

3.10 The outcomes of creating a Joint Finance Partnership are:

- A shared finance team operating as one team to support both councils covering all aspects of the finance service.
- Improved finance systems and efficiency of processes for both councils.
- Financial savings on staff costs and other operational costs, savings mainly relating to software support savings
- Improved recruitment and retention of staff
- Improved efficiency of finance service to both councils
- Improved resilience of staff structures and sharing of best practice

### **Project implementation**

3.11 An officer level Partnership implementation board has been set up to oversee progress. The Board consists of the Project Sponsors (the two Section 151 Officers) and Project Manager (Joint Financial Services Manager) with representation from key support services such as ICT, Legal and HR as well as Finance. The implementation board has been meeting monthly since Autumn 2023 and continues to meet monthly to progress and oversee the implementation of the project.

3.12 As a first step to enable the partnership to proceed, the two Council's collaborated on the appointment of a Joint Financial Services Manager (JFSM), who is also deputy Section 151 Officer for both authorities and has taken on the role of project manager for the implementation of the partnership. Following an internal and external recruitment process, the JFSM was appointed and started in their employment on 1<sup>st</sup> May 2024. The JFSM was previously MVDC's Chief Accountant, and is currently seconded into the role.

3.13 A timetable showing key milestones and activities is set out in Appendix 1.

### **Joint Finance System Implementation**

3.14 The two Councils have contracted with Advanced IBSS Ltd, the system supplier of the Centros and Integra 2 systems, used by both Councils to provide technical support to the project. In the main, the set-up, testing and then implementation of the Centros system to host MVDC is being undertaken by the ICT and Finance System Administration functions at both Councils. However, specific technical support is required from the software

supplier. The Councils have entered into contract with the supplier for them to help set up a new environment on SBC's Centros infrastructure, support balance transfers and data migration and the general set up of the shared approach. They will also assist with migrating the archived MVDC financial system to Centros to support historical enquiries and the removal of the Integra 1 system at MVDC. The cost of the technical support to enable the set-up of the system is £49,800.

- 3.15 In addition to setting up, testing and implementing the new MVDC environment on SBC's Centros system outlined above, there will be significant work to re-point a number of integrations known as 'Application Programming Interfaces' (APIs) between other line of business systems at MVDC to SBC's Centros system. The following MVDC systems currently have interfaces with Centros:-
- Cash Management and Receipting system (Adelante)
  - Payments system (Bottomline)
  - Banking system (NAtwest)
  - HR/Payroll System (iTrent)
  - Property system (Concerto)
  - Parking system (SiDem)
  - Customer Relationship Management system (Granicus)
  - Electronic Licence Management System
  - Microsoft systems
- 3.16 All of these interfaces with the finance system will need re-programming to ensure that business operations and functionality is not unduly disrupted. The re-programming of the interfaces may also require changes to the line of business systems, particularly as a result of changing the coding structure within the finance system, known as the 'chart of accounts'. Many of MVDC's financial reports (Crystal reports) will also need re-writing. The majority of this work will be undertaken by MVDC's ICT team although some specialist technical support may be required to assist.
- 3.17 A detailed ICT workstream project plan is being developed to ensure that all activity is captured and monitored.
- 3.18 Once implemented the annual running cost of the Centros system (approx. £50,000 per annum) will be shared between MVDC and SBC. This represents an ongoing annual saving of £39k compared to the option of continuing to run as two separate systems.
- 3.19 **OPTIONS**
- Do Nothing
- 3.20 For MVDC this option would mean the continuation of the existing finance teams with the same issues as currently experienced in terms of recruitment and retention of staff in both teams and a lack of resilience. This option does not address the fact that the finance system is end of life and will go out of service support by March 2025 and so places the authority at significant risk.

This option has been discounted as it is not possible to continue to operate the service as is.

- 3.20 For SBC, whilst the outgoing Chief Accountant has addressed some of the skills requirements through restructuring and is generating potential for some in house skills development, for example through the 2 new apprentice posts, the challenge will be to ensure that SBC is able to retain our skilled staff. Equally at the same time SBC needs to develop the full potential of Centros which is more likely to be achieved with a larger and more resilient systems admin team. On the Revenues side, SBC faces similar challenges to MVDC with a number of vacancies.

### **Do Minimum**

- 3.22 For MVDC if existing teams are retained in house there will be a need to upgrade or replace the finance system which will incur significant costs in doing so as an individual Council and is unlikely to deliver savings in staffing or ICT costs or economies of scale. It will also not capitalise on learned experience from SBC of implementing the system to help deliver the system in a timely and efficient manner.

For SBC this would miss the opportunity to assist in more effectively addressing the resourcing pressures on the Revenues team and would constrain the resilience of the finance team and the ability to retain specialist skills.

### **Do the Project- the preferred option**

- 3.23 There are a number of key factors that identify SBC and MVDC good partners for the finance and revenues services. There are set out below:-

- Common agreement between the S151 officers on the objectives of the partnership being about service resilience, improved recruitment and retention of staff and achievement of efficiencies from economies of scale
  
- Alignment of ICT systems – SBC and MVDC currently have the same suppliers for their finance & exchequer system, revenues & benefits system and their HR/Payroll systems. This assists with both sharing of knowledge and achievement of efficiencies whilst limiting the costs involved in system replacements. It also offers a greater opportunity for automation of processes and maximising delivery of the potential of Centros.
  
- Experience – whilst not a core consideration, both Spelthorne's S151 Officer and Deputy S151 Officer have previously worked for MVDC, this will potentially help the transition to a partnership and the alignment of processes and procedures. The Council will be looking for the partnership to build on existing performance and enhance the quality of support for Group Heads and services with a move towards more of a business partnering approach.

- Opportunity for expansion – there is at least one other authority in Surrey that has the same systems as SBC and MVDC for the services outlined in this proposal. This offers an opportunity to expand the partnership in due course.

3.24 Implementing the project will achieve the benefits set out below.

### **Do an Alternative Project**

3.25 For both authorities there is an opportunity to partner with one or more other Councils to form a finance partnership for example, and using the most obvious 'clusters' outlined in the previous KPMG work, the options would be as follows:

3.26 SBC could partner with its nearest Surrey neighbours of Runnymede, Surrey Heath and Elmbridge. These authorities currently use different financial systems, although Runnymede is currently in process of tendering for a new financial system, whilst the outcome of that process is that Runnymede might end up with the same platform as SBC, Runnymede would not be in a position to initially to seek a joint approach with SBC although there would be the potential in the future in that scenario. Woking Borough Council does use the same Centros platform as SBC, and officers between the two authorities have had discussions. Due to the challenges Woking currently face, they are not in a position to engage with this partnership, but they are interested to monitor how the partnership goes and would potentially be interested in the future. These options have therefore been discounted.

3.27 SBC could partner with Surrey CC who have just implemented the Unit 4 cloud-based ERP system. It is envisaged that this option would be less of a partnership and more of a model whereby SBC outsources its finance service to SCC is hosted on their system. This option has not been explored as it is not deemed politically acceptable.

## **4. Financial management comments**

4.1 A draft budget for the partnership, based on 2024/25 budgets and prices is contained in Appendix 4. The partnership budget proposed totals £1.859 million, of which £1.684 million is staffing cost and £175,000 is non-staffing costs such as ICT software costs, organisational subscriptions (eg, to CIPFA, LG Futures, LG Improve) and other expenses.

4.2 The budget for the finance function excluding internal costs recovered at SBC is currently £989,399 of which, £926,300 is staffing cost and £63,000 is non-staffing cost. The gross budget for the finance function excluding internal recharges at MVDC is £958,000 of which £810,000 is staffing cost and £148,000 is non-staff cost. Together the combined budgets of the two separate finance functions at each authority is £1.947million.

- 4.3 The proposed partnership budget therefore represents a saving of £88,000 when compared to the combined current budgets at each authority. The savings consist of £52,000 on staffing costs as a result of combining the management of the team, and £36,000 saving on ICT licensing costs as a result of sharing the Centros Financial Management System.
- 4.4 It is proposed to share the staffing costs of the joint finance team on a basis of 54% SBC and 46% MVDC to recognise the scale and complexity of the SBC's financial position compared to MVDC's financial position. This split has been derived by looking at the existing staffing costs at each authority as a percentage of the total existing costs to get an indicative split for the joint team. The ICT costs will be shared between the two authorities on an equal 50/50 split. All other costs have been allocated to authority's based on the existing budgets until an opportunity can be taken to provide further challenge around the non-staffing costs and see if there are opportunities to combine subscriptions and generate further savings. Temporary staffing costs will also be shared between the authority's based on existing budgets whilst the need for temporary staffing is reviewed following the partnership go-live. Staff budgets have been based on SBC pay scales.
- 4.5 Based on the cost sharing rationale outlined above the £1.859million cost of the partnership will be split £948,000 to SBC (51%) and £911,000 to MVDC (49%). This represents a saving of £41,400 to SBC and £46,400 to MVDC.
- 4.6 As stated above, there are some initial up-front one-off costs associated with changing the Centros finance system to accommodate an additional company for MVDC on the system. This has been outlined above as £49,800 which is being split equally between the partners. The additional cost of system integrations between Centros and other systems at MVDC of £36,000 will be paid for by MVDC.
- 4.7 The creation of the partnership will therefore achieve pay-back period of under 1 year (approximately 6 months) for SBC and 1.3 years for MVDC.
- 4.8 The total costs of the project incurred as at the end of September 2024 were £12,732.20, representing external project management fees and internal staff time for ICT and Systems Accounting work.

## **5. Risk management comments**

5.1 There are a number of risks and constraints as follows:-

- Viability – there is a risk that the one-off costs of collaboration and the savings achieved may not be viable or result in an appropriate payback period, however this will need to be considered against the non-financial benefits to be achieved from the collaboration
- Political / Geographical constraint – this collaboration is being proposed as there is a natural alignment between the two authorities in terms of ICT, objectives and the experience of the officer teams in the services being proposed. However, it is acknowledged that the geographical distance and any political differences between the two authorities could make a partnership more difficult. With the increase in hybrid and changed working

practices since the pandemic, the geographical risk is seen as a decreasing risk.

- 5.2 Lack of a wider collaboration strategy – in August 2020 all 11 of the D&B authorities in Surrey commissioned KPMG to explore ways of joint working and closer collaboration. The report did identify revenues and benefits (but not finance) as one such service that could be considered for collaboration. The report also looked at potential options for local government re-organisation in Surrey in terms of groupings of authorities between whom clusters of collaboration may be of benefit and may pave the way for future local government re-organisation. The purpose was to identify clusters of authorities that may collaborate without running a risk of creating significant complexity that would need to be ‘undone’ in a future potential local government re-organisation. In the options considered in the report, MVDC and SBC were identified as potential collaboration partners in five of the 15 scenarios considered. However, the two authorities were identified as part of the same cluster in ‘Option 2b’ – which was the highest scoring, two unitary alternative to the favoured ‘Option 3c’ cluster of authorities for a three unitary scenario. As such, in progressing a collaboration on an individual service basis between the two authorities there is a risk that this may create a complex issue in any future wider collaboration or local government re-organisation proposals. In addition, collaborating on individual service areas without a wider collaboration strategy for the organisations as a whole or the management of the organisations may also increase future complexity risk if such wider collaborations were to be considered in future. In addition the alignment of financial platforms (both Councils have Integra/Centros ) across the two councils creates a key opportunity to achieve collaborative benefits.
- 5.3 Staff retention– although one of the key benefits of the shared service proposal is better recruitment and retention of staff, there is a risk that in the short term, staff turnover may increase if individual members of staff are resistant to the proposal – this risk will pose a constraint to successful delivery of the project.

## **6. Procurement comments**

- 6.1 The proposal is a partnership between two councils rather than a procurement.

## **7. Legal comments**

- 7.1 The two Council’s having been working together on Heads of Terms of the Partnership Agreement or Inter Authority Agreement (IAA), and associated documentation.
- 7.2 Under the Local Authorities (Goods and Services) Act 1970, local authorities are able to trade any administrative, professional or technical services with one another and other public bodies. The legislation means that any trading

of goods or services between local authorities is not subject to the requirements of the Public Procurement Regulations 2015.

- 7.3 Part 6 of the Local Government Act 1972 (LGA 72) provides statutory authority for the discharge of functions; s101 LGA 72, for example, confirms that a local authority may arrange for the discharge of any of their functions by a committee, or a sub-committee or an officer of the other authority, or by any other local authority, and s102 LGA 72 permits councils to discharge those functions through joint committees. The Council may therefore delegate its powers to a committee or an officer. The delegating body may exercise the powers that have been delegated (and make arrangements for the discharge of those functions through officers). Other legislation may be relied on as appropriate (eg the General Power of Competence at s1 Localism Act 2011). The Council may therefore delegate its powers to a committee or an officer. The delegating body may exercise the powers that have been delegated. Section 151 of the Local Government Act 1972 mandates that every local authority must make arrangements for the proper administration of their financial affairs. This includes appointing a designated officer, known as the Section 151 Officer or Chief Financial Officer (CFO) to oversee financial matters.
- 7.4 The MVDC Section 151 Officer will enter into the Intra-Authority Agreement (IAA) with SBC to delegate aspects of financial administration to Spelthorne BC and to set up a Joint Partnership Board to oversee arrangements. The Heads of Terms for the IAA have been set out in Appendix 2 and set out the aspects of financial administration that will be delegated to the partnership. Terms of Reference for the Joint Partnership Board are set out in Appendix 3.
- 7.5 The Committee are asked to approve the Heads of Terms and to delegate authority to the Section 151 Officers, in consultation with the Interim Group Head of Corporate Governance to implement all necessary legal arrangements to implement the partnership in line with the approved HoTs.
- 7.7 It is proposed that the partnership is governed by a Joint Partnership Board which will consist of 6 members, comprising the Lead Councillor for Finance at MVDC, the Chair of the Corporate Policy & Resources Committee of SBC, one additional Councillor from each of the two councils, and the Section 151 Officers of each council. The role of the Partnership Board is to oversee the performance of the partnership and the intra-authority agreement. Draft terms of reference for the Partnership Board are proposed at Appendix 3 for approval.
- 7.8 Officers have sought to retain flexibility in the event of insurmountable ICT issues being encountered and both Councils have re-confirmed approval to progress towards fully creating the single Finance team from 1<sup>st</sup> April 2025. Initially the senior posts being created within the team are on a seconded basis. So, the Joint Financial Services Manager Officer has been seconded to the role by MVDC, and the proposed Joint Team Leaders will be seconded from their existing roles once appointed until the full go live date. This retains the ability for the two councils to unwind the arrangements. From 1<sup>st</sup> April

2025, it is intended that the MVDC staff will transfer across and become SBC employees. At this point the senior positions would cease to be secondments and become permanent roles. As part of the Inter-Authority Agreement there is an exit clause, with appropriate mechanisms for review and notice in the event that there is a decision to part ways.

## **8. Other considerations**

- 8.1 The proposed staffing structure for the new joint finance partnership is set out in confidential Appendix 5. The partnership structure brings together the existing teams at each authority under the management of a Joint Finance Manager who will act as the deputy S151 officer for each Council. The structure proposes that the partnership will consist of 28 full time equivalent (FTE) staff on initial implementation. This represents 1 FTE reduction from the existing pre-partnership structure at each authority and has been achieved by combining the previous posts of Financial Services Manager at MVDC and Chief Accountant at SBC into the new Joint Finance Manager role. The staff structure is subject to consultation with unions and staff as part of the implementation exercise. Any changes to the structure post consultation will be approved by the Section 151 Officers of each authority who will approve the final structure for implementation. The partnership will be hosted by SBC which will be the employing authority for the staff. As part of the implementation process, it is envisaged that staff will be TUPE transferred from MVDC to SBC in preparation for the go-live date of 1<sup>st</sup> April 2025. The TUPE transfer of staff to SBC will ensure that all staff can work within the partnership effectively and efficiently, as without transfer, the staff will need to have 2 laptops and Microsoft network accounts to work across the two authorities.

## **9. Equality and Diversity**

- 9.1 Working with HR we will ensure appropriate consultation processes are undertaken with staff.

## **10. Sustainability/Climate Change Implications**

- 10.1 Whilst the partnership may generate some travel movements of staff between the two councils, this will be limited by use of virtual working and Teams meetings.

## **11. Timetable for implementation**

- 11.1 See Appendix 1

## **12. Contact**

- 12.1 Terry Collier T.Collier @spelthorne.gov.uk



**Background papers:** 7<sup>th</sup> February 2022 Corporate Policy and Resources Committee, Proposed Transactional Finance Service Partnership

**Appendices:**

**Appendices**

Appendix 1 – Proposed project timeline

Appendix 2 – Heads of Terms for Intra-Authority Agreement

Appendix 3 – Proposed Terms of Reference for a Joint Finance Partnership Board

Appendix 4 – Proposed Joint Partnership Budget for 2025/26

Appendix 5 – Proposed Partnership Structure

## Appendix 1 – Project Timetable

### Proposed timeline for implementation of the Shared Financial Services Team

IBSS/AdvT provide ICT with consultancy and templates to test migration	03 June 2024
IBSS/AdvT provide support in issues arising during loading data	01 July 2024
Business case for shared service signed off and sent to Unison for consultation	02 August 2024
Circulate business case to staff	05 August 2024
IBSS/AdvT provide support in agreeing and implementing ASD changes & options for setup	05 August 2024
Start of consultation process & group consultation meeting with staff to share proposals	07 August 2024
End of consultation period with Unison	09 August 2024
End of consultation period with staff (30 days)	06 September 2024
Final structure and Job Descriptions for senior posts finalised & shared with staff	16 September 2024
Individual matching meetings held and matching outcomes confirmed in writing by HR (managerial posts)	23 September 2024
Start of recruitment process for the managerial roles in the shared service	30 September 2024
IBSS/AdvT provide support for User Acceptance Testing	07 October 2024
Draft Job Descriptions for all other posts	21 October 2024
Job Descriptions for all other posts finalised and shared with staff	28 October 2024
Implementation date for Shared Service senior roles	11 November 2024
Individual matching meetings held and matching outcomes confirmed in writing by HR (all other posts)	11 November 2024
Start of recruitment process for the all other posts in the shared service	18 November 2024
IBSS/AdvT provide Go Live support	31 March 2025
Full shared service implementation date	01 April 2025

## Appendix 2 – Heads of Terms for an Intra-Authority Agreement

<u>Area</u>	<u>Key information / Terms</u>
Background	As per business case and Project plan approved by Council in February 2024 (part of Transformation Business Case) and October 2024 Cabinet report (this report). The proposal is to share a finance team and system to reduce cost and increase resilience of the team.
Key Objectives	<p>The key objectives of the Partnership are:</p> <p>To achieve a modest level of staff savings and ICT costs and contribute towards the financial sustainability of each authority</p> <p>To have one financial system for both authorities (SBC’s Centros system) and deliver on-going development of the system for both authorities (thereby replacing MVDCs current end of life financial system)</p> <p>To provide Resilience – like virtually all district and borough councils, Mole Valley and Spelthorne operate small finance and revenues teams in order to deliver value for money for their Councils. They carry no ‘surplus’ resource, and the teams are constructed to deliver just what is needed by the Council and no more. However, this does create a vulnerability in relation to resilience, whenever one or more posts becomes vacant. This can be particularly challenging in relation to certain functions, (such as Systems Accountant or Treasury Management Accountant), which are generally undertaken by a single member of staff. It is proposed that in a larger combined Team it will be both easier to cover for vacancies generally, and to spread skills across a number of people, reducing reliance on a single person.</p> <p>To improve Recruitment and Retention of staff –The above issues of resilience are made more challenging by difficulties in relation to recruitment and retention. Recruitment and retention of local government professionals is challenging. As teams have become smaller in the drive for efficiencies, it has become ever harder to recruit and retain appropriately skilled staff, as opportunities for career development are by definition more limited in small teams. People who put the effort and time into gaining accountancy qualifications are generally very career focused and willing to move employers in order to progress their careers. There is also significant competition from ‘agencies and outsourced providers’ who are able to employ skilled staff on higher salaries than Council’s and then sell their services into Council’s at a premium cost. Council’s are often left with little option but to employ this more expensive resource due to the skilled shortages in the labour market. This issue is further compounded by a significant reduction in the training of CIPFA qualified public sector accountants nationally, over the past decade, as public sector budgets have been squeezed. As a result, it has become increasingly difficult to attract accountants with the appropriate skills, qualifications and experience. (In a number of areas, local government accounting requirements are materially different from the private sector). It is proposed that in a larger Partnership environment, greater career development opportunities can be built into the design of the staffing structure, and that by its very nature, a multi-authority service will be more attractive to some individuals in terms of experience and career development.</p>

	To share best practice between the councils and work together to improve the efficiency of financial processes.
MILESTONES/ STRANDS	Timeline set out in Appendix 1.
Principles of collaboration	<p>One shared finance team hosted by SBC working on a shared Centros system</p> <p>Spelthorne to contract with Advanced IBSS and provide/ facilitate licence and use of the Finance system for MVDC*1 (s151 Officer for all, BMT (or as delegated) for budget monitoring, and staff raising purchasing orders)</p> <p>50/50 partnership from 1<sup>st</sup> April 2025. Set up costs to be shared on a 50/50 equal basis where the cost is to the benefit of both parties or, covered by the individual authority if the benefit is to one of the partners</p> <p>Initial Partnership budget for 2025/26 to be as set out in Appendix 5. Partnership budget for future years to be agreed on an annual basis by the Joint Partnership Board by the end of December preceeding each Council's budget approval in February each year.</p> <p>Separate S151 officers</p>
Governance	<p>Joint Partnership Board [(to include members and officers)] to provide scrutiny of the operation of the service and over see its performance in line with the IAA [ see terms of reference]</p> <p>Joint Finance Manager to be responsible for delivery and operational decisions, reporting to the S151 Officer of each authority. [ see terms of reference]</p> <p>[Amendments to the Constitution: xxxx]</p>
Staffing	<p>MVDC finance team to be employed by SBC (subject to consultation) from 1 April 2025*1 (team leader roles to be employed by SBC from their start dates if earlier)</p> <p>*unless the ICT infrastructure (single Centros db) has not gone live [?, in which case MVDC will continue to use the current MVDC system (and stay employed by MVDC until the go live date)]</p>
Legal	<p>HoT to be incorporated into an Inter Authority Agreement on instructions from s151 Officer (in consultation with Portfolio Holder (MVDC)) (s101 LGA, s9E &amp; EA Local Government Act 2000, and Local Authorities (Arrangement for the Discharge of Functions) (England) Regs 2012).</p> <p>Statutory accounts and government returns – in line with LGA 1972, Localism Act and prevailing Local government finance, Local Authorities (Capital Finance and Accounting) &amp; Accounts and Audit regulations. Relevant CIPFA codes – Service Reporting Code of Practice, CIPFA Code of Practice on Local Government Accounting Revenue and Capital Budget Setting, Monitoring and Closedown (incl Salaries monitoring) – LGA Act 1972, prevailing Capital finance regulations, CIPFA prudential code and CIPFA financial management code Accounts payable (creditors)</p>

	<p>Accounts receivable (Sundry debtors) Banking and Treasury Management – in line with CIPFA TM &amp; Prudential Codes, PWLB guidance and statutory guidance from Government (MHCLG)</p> <p>No procurement required. MVDC policies and procedures to be complied with re MVDC business.</p>
Data protection	<p>See data protection information assessment on shared drive</p> <p>Supplier, staff and customer details - Names, DOB, Addresses, salary, bank details, arrears / payment history.</p> <p>Numbers of customers &amp; Suppliers?</p> <p>[Next steps: need list of staff roles and what data they will have access to and to consider against staffing structure.]</p>
Roles and Responsibilities	See draft staffing structure
Escalation	Dispute resolution – first to S151 officers, if not resolved to CX's then joint board and then arbitration or other legal remedy
Intellectual property	<p>Logos</p> <p>Sharing of best practice and shared spreadsheet models</p> <p>Centros system?</p>
Terms and Termination	<p>See Service specification (?by ref to business case)</p> <p>5 years minimum terms</p> <p>Rolling extension</p> <p>Termination – at least 2 year termination period to allow set up of team &amp; system back at MVDC</p>

### **Appendix 3 – Proposed Terms of Reference for a Joint Finance Partnership Board**

#### **Spelthorne Borough Council and Mole Valley District Council Joint Finance Partnership Board**

This Joint Finance Partnership Board is to be established by Spelthorne Borough Council and Moe Valley District Council ('the councils') in accordance with Section 102 (1)(b) of the Local Government Act 1972 (appointment of committees)

Members: 6

The Joint Partnership Board shall comprise the Lead Councillor for Finance at Mole Valley District Council, the Chair of the Corporate Policy & Resources Committee of Spelthorne Borough Council, one additional Councillor from each of the two councils, and the Section 151 Officers of each council.

Appointments shall be made in accordance with the Local Government (Committees and Political groups) Regulations 1990.

Substitutes will not be allowed

Quorum: 4

Each Council should be represented at a meeting by at least 2 members

Chairperson:

The Joint Finance Partnership Board will be chaired alternatively between the Councils by the Section 151 Officers

Place of Meetings:

The venue for the meetings of the Joint Partnership board shall alternate between the two councils with the host Section 151 Officer chairing the meeting. Meetings can be hybrid meetings at the discretion of the Chairperson.

General Role:

To oversee the performance of the Joint Finance Partnership and the operation of the intra-authority agreement.

Frequency of meetings:

Two meetings per year on a six monthly basis

Role and Function

- (1) To undertake an annual review of the inter-authority agreement, ensuring that it continues to be fit for purpose and recommending to the councils any changes required
- (2) To undertake a regular review of the partnership risk register
- (3) To review the partnership budget prior to submission as part of the budget setting process for both councils
- (4) To review the actual and forecasted expenditure against the budget
- (5) To discharge any other functions as required by the inter-authority agreement

Draft Spelthorne and Mole Valley Joint Finance	Partnership Budget Allocation			Savings			Comments
	46%	54%					
	MVDC	SBC	TOTAL	MVDC	SBC	TOTAL	
Salaries, NI and Pensions - Permanent Staff	£745,710.50	£878,202.50	£1,623,913.00	-£23,858.50	-£28,097.50	-£51,956.00	Split 46/54 as per initial staff resource split
Salaries - Temporary Staff	£40,000.00	£20,000.00	£60,000.00	£0.00	£0.00	£0.00	allocate based on existing budget
Holiday Pay	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	Split 46/54 as per initial staff resource split
Training Expenses	£2,984.84	£3,515.16	£6,500.00	-£265.16	£3,515.16	£3,250.00	Split 46/54 as per initial staff resource split
Insurance for employees	£4,116.78	£4,848.22	£8,965.00	-£1,948.22	£1,948.22	£0.00	Split 46/54 as per initial staff resource split
Employee Advertising	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	Split 46/54 as per initial staff resource split
Employee subscriptions	£1,744.98	£2,055.02	£3,800.00	-£255.02	£255.02	£0.00	Split 46/54 as per initial staff resource split
Public transport	£114.80	£135.20	£250.00	-£135.20	£135.20	£0.00	Split 46/54 as per initial staff resource split
Car Leasing	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	Split 46/54 as per initial staff resource split
General Equipment	£344.40	£405.60	£750.00	-£405.60	£405.60	£0.00	Split 46/54 as per initial staff resource split
Software support - other	£27,123.0	£0.0	£27,123.00	£0.00	£0.00	£0.00	allocate based on existing budget
Software support - Centros/Integra 2	£19,600.00	£19,600.00	£39,200.00	-£19,777.00	-£19,600.00	-£39,377.00	Split 50/50
Stationery	£1,500	£6,700	£8,200.00	£0.00	£0.00	£0.00	allocate based on existing budget
Legal Fees	£6,000	£0	£6,000.00	£0.00	£0.00	£0.00	allocate based on existing budget
Consultants Fees	£0	£0	£0.00	£0.00	£0.00	£0.00	allocate based on existing budget
Courses, seminars & conference	£3,500	£0	£3,500.00	£0.00	£0.00	£0.00	allocate based on existing budget
Subscriptions	£17,000	£12,400	£29,400.00	£0.00	£0.00	£0.00	allocate based on existing budget
Other Expenses	£41,616	£0	£41,616.00	£0.00	£0.00	£0.00	allocate based on existing budget
Costs Recovered	£0	£0	£0.00	£0.00	£0.00	£0.00	allocate based on existing budget
TOTAL on-staff	£911,355.30	£947,861.70	£1,859,217.00	-£46,644.70	-£41,438.30	-£88,083.00	
staff	49%	51%					

Check

Cost recovered & Salaries recharges will need to be recalculated based on gross budget

**Summary Draft Spelthorne and Mole Valley Joint Summary Partnership Budget Share**

	MVDC	SBC	TOTAL
Staff Costs - Permanent	£745,710	£878,203	£1,623,913
Staff Costs - Temporary	£40,000	£20,000	£60,000
Other Staff related expenses	£8,961	£10,554	£19,515
ICT Costs - Finance Management System	£19,600	£19,600	£39,200
Other ICT Costs	£27,467	£406	£27,873
Organisational Finance Subscriptions	£17,000	£12,400	£29,400
Other Expenses	£52,616	£6,700	£59,316
<b>TOTAL</b>	<b>£911,355</b>	<b>£947,862</b>	<b>£1,859,217</b>

## Screen Data Export

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### Income & Expenditure - Service

<u>Account</u>	<u>2024-25 Sp</u>	<u>Outstandir</u>	<u>Total (incl</u>	<u>Budget 2024-25</u>	<u>24-25 FY P</u>	<u>24-25 FY P</u>	<u>FY Projecti</u>	<u>2023-24 FY</u>	<u>GL Notes</u>	<u>More</u>
02010000 - Salaries - Permanent Staff	152665	0	152665	392544	366015	366015	-26529	305200		Transactions
02110000 - Salaries - Temporary Staff	58670	27640	86310	40000	95900	95900	55900	13052	(2) Jo-Anne	Transactions
02210000 - NI - Permanent Staff	16452	0	16452	40964	37054	37054	-3910	32635	As per Sala	Transactions
02310000 - Pensions - Permanent Staff	26106	0	26106	67125	62589	62589	-4536	51738	As per Sala	Transactions
05410000 - Holiday Pay	0	0	0	0	0	0	0	5364		Transactions
08010000 - Training Expenses	0	0	0	3000	3000	3000	0	953		Transactions
08060000 - Insurance for employees	2808	0	2808	2808	2808	2808	0	2435	forecast as	Transactions
08110000 - Employee Advertising	0	0	0	0	0	0	0	1647		Transactions
08410000 - Employee subscriptions	0	0	0	2000	2000	2000	0	1569	Forecast is	Transactions
42010000 - Public transport	36	0	36	250	250	250	0	14		Transactions
48010000 - Car Leasing	0	0	-301	0	0	0	0	0		Transactions
52010000 - General Equipment	0	0	0	250	250	250	0	159		Transactions
53010000 - Software support	45453	0	45453	60500	60500	60500	0	59212	Integra, Re	Transactions
56010000 - Stationery	0	91	91	500	500	500	0	533	M11 foreca	Transactions
60060000 - Consultants Fees	5000	6331	11331	0	0	0	0	0	Sever migr	Transactions
62060000 - Courses, seminars & conference	6030	3680	9710	3000	3000	3000	0	3415	M11 foreca	Transactions
64110000 - Subscriptions	34926	5490	40416	17000	35000	35000	18000	20389	M11 foreca	Transactions
67010000 - Other Expenses	0	0	0	41616	41616	41616	0	22	M8 forecas	Transactions
83910000 - Costs Recovered	-19957	0	-19957	0	-43905	-43905	-43905	0	Recovery o	Transactions
<b>Total</b>	<b>328189</b>	<b>43232</b>	<b>371120</b>	<b>671557</b>	<b>666577</b>	<b>666577</b>	<b>-4980</b>	<b>498337</b>		



## Screen Data Export

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### Income & Expenditure - Service

<u>Account</u>	<u>2024-25 Sp</u>	<u>Outstandi</u>	<u>Total (incl</u>	<u>Budget 20</u>	<u>24-25 FY P</u>	<u>24-25 FY P</u>	<u>FY Projecti</u>	<u>2023-24 FY</u>	<u>GL Notes</u>	<u>More</u>
02010000 - Salaries - Permanent Staff	82939	0	82939	211825	211825	211825	0	190870	See 2023/2	Transactions
02210000 - NI - Permanent Staff	8307	0	8307	20889	20889	20889	0	18818	See 2023/2	Transactions
02310000 - Pensions - Permanent Staff	14182	0	14182	36222	36222	36222	0	32650	See 2023/2	Transactions
05410000 - Holiday Pay	0	0	0	0	0	0	0	5064		Transactions
08010000 - Training Expenses	0	0	0	250	250	250	0	0	M9 forecas	Transactions
08060000 - Insurance for employees	3257	0	3257	3257	3257	3257	0	2824	M11 foreca	Transactions
52010000 - General Equipment	0	0	0	500	500	500	0	0	M9 forecas	Transactions
53010012 - ALC software	4509	0	4759	6000	6000	6000	0	5905	PTX BACS (	Transactions
56010000 - Stationery	0	6	0	1000	1000	1000	0	526	Stationary (	Transactions
60010000 - Legal Fees	3173	84	4102	6000	6000	6000	0	5981	M11 foreca	Transactions
62060000 - Courses, seminars & conference	0	0	0	500	500	500	0	0		Transactions
83320000 - Charges (Zero)	-641	0	-641	-6000	-6000	-6000	0	-9093	Q2 recover	Transactions
<b>Total</b>	<b>115726</b>	<b>90</b>	<b>116905</b>	<b>280443</b>	<b>280443</b>	<b>280443</b>	<b>0</b>	<b>253545</b>		

**GL Account Codes for : Enquiry Group: Actual/Commit v Orig. Budget/GL Account Code Range: 301-26/\*\*-\*\* to 301-26/\*\*-\*\* / Enquiry Year: 2425/ Period: 00 to 12 - Borough of Spelthorne (LIVE)**

System\

Option NML400

Date 10/09/2024

Username SPBCMR01 - Mahmud Rogers

Time 13:48

<u>GL Account Code</u>	<u>Description</u>	<u>Current Yr Actuals</u>	<u>Current Yr Commitments</u>	<u>2024/25 Budget</u>	<u>Underspend Variance</u>
301-26/10-01	Accountancy Salaries	276,143.77	0.00	706,600	-430,456
301-26/10-11	Accountancy Temp Staff	5,890.32	0.00	20,000	-14,110
301-26/10-99	Accountancy Employee Salaries recharge	-42,832.31	0.00	-107,800	64,968
301-26/11-01	Accountancy National Insur	27,301.22	0.00	74,300	-46,999
301-26/11-11	Accountancy Superannuation	46,084.16	0.00	122,700	-76,616
301-26/11-20	Accountancy AVC Salary Scrifice	199.86	0.00	0	200
301-26/12-02	Accountancy First Aid Allo	93.95	0.00	200	-106
301-26/12-12	Accountancy additionalallo	624.99	0.00	2,500	-1,875
301-26/16-01	Accountancy Profess subs	184.00	0.00	1,800	-1,616
301-26/18-03	Accountancy Employee Insur	0.00	0.00	2,900	-2,900
301-26/39-01	Accountancy Public Transpo	20.80	0.00	0	21
301-26/43-01	Accountancy Internal Print	124.80	0.00	300	-175
301-26/43-12	Accountancy Books&Publicat	0.00	0.00	5,000	-5,000
301-26/45-07	Accountancy post envelopes	852.55	0.00	900	-47
301-26/45-11	Accountancy Telephones	21.32	0.00	500	-479
301-26/45-52	Accountancy Computer Softw	44,450.73	0.00	39,200	5,251
301-26/47-01	Accountancy Subs Gen	17,495.00	0.00	12,400	5,095
301-26/49-90	Accountancy Set-aside contributions	0.00	0.00	-71,200	71,200
301-26/50-46	Accountancy Contracts MVDC	19,956.90	92,266.80	0	112,224
301-26/62-01	Accountancy Central Dep CR	-405,150.00	0.00	-810,300	405,150
	<b>Total</b>	<b>-8,537.94</b>	<b>92,266.80</b>	<b>0</b>	<b>83,730</b>

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

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# Corporate Policy & Resources Committee



15 October 2024

<b>Title</b>	Corporate Risk Register (Corporate Risk Management)
<b>Purpose of the report</b>	To note
<b>Report Author</b>	Lee O’Neil, Deputy Chief Executive
<b>Ward(s) Affected</b>	All Wards
<b>Exempt</b>	No
<b>Exemption Reason</b>	N/A
<b>Corporate Priority</b>	Community Addressing Housing Need Resilience Environment Services
<b>Recommendations</b>	<b>Committee is asked to:</b> Consider the significant strategic risks and issues highlighted in this report, ensuring continued wider reporting of the Corporate Risk Register and actions across other Committees.
<b>Reason for Recommendation</b>	The Corporate Risk Register continues to ensure that the Council’s most significant risks in relation to achievement of corporate priorities and objectives are identified, managed, monitored, and reported. Continued visibility and ownership of the risks and issues raised in this report is recommended across the Council due to the significant and wide-reaching implications. This will support improved coordination in implementing risk management strategies.

## 1. Summary of the report

What is the situation	Why we want to do something
The Corporate Risk Register continues to ensure that the Council’s most significant strategic level risks in relation to achievement of corporate priorities and objectives are regularly identified, managed, monitored, and reported. The current reporting	Exposure to wider externalities and other unprecedented pressures continue to present challenges to the Council and to the delivery of its corporate priorities. The approaches being taken to proactively manage identified risks and mitigate their impact are referred to in this report and related appendices.

frequency coincides with the Audit Committee cycle and work programme	
This is what we want to do about it	These are the next steps
The Corporate Risk Register and related processes provide a mechanism for regularly reviewing risks to ensure any threats to the Council and its services can be addressed/minimised.	The corporate management team and lead Committee hold collective ownership and accountability for ensuring these strategic corporate risks are effectively managed. In doing so they are supported by designated lead officers (at Group Head level) who are responsible for overseeing the day-to-day management of these risks and ensuring future risk management strategies are progressed/implemented.

- 1.1 This report highlights significant strategic risks in delivering the Council's priorities (CARES) and objectives, current strategies to manage risks (defined as current controls and current mitigations) as well as any future strategies to manage associated risks.
- 1.2 The Council continues to encounter some challenges in delivering its corporate priorities due to exposure to wider externalities (including inflationary pressures and demands for housing). The approaches taken to proactively manage identified risks and mitigate their impact are referred to in the appendices to this report.
- 2. Key issues**
- 2.1 Further refinements continue to be made to the refreshed format of the Corporate Risk Register and some of the technical issues have been resolved since the last Committee. More work will be undertaken to remove surplus content and consolidate a number of the subject risk areas where appropriate which will be discussed with the Chair and Vice-Chair of this Committee prior to any planned implementation.
- 2.2 The revised Corporate Risk Register content is appended to this report and includes the following:
- (a) **Appendix A** - Identified risks along with current and future risk management strategies set out in one document, highlighting next steps in managing the risks.
- (b) **Appendix B** sets out the positioning and ranking of current assessed risks relating to each subject risk area, applying the corporate risk scoring matrix. (Risk owners and Lead Officers have had an opportunity to review the proposed positioning of the risks on the matrix).
- 2.3 Since the last meeting of this Committee the register has been updated to reflect any changes in the risks outlined at the time the report was written. The key headlines and updates to report across the broad risk categories on the register emerging from the current review are set out in section 2.6.

- 2.4 A number of key underlying themes around financial risk continue to significantly affect risks to the organisation including:
- Ongoing funding challenges for local authorities,
  - Increased demands on services, particularly in the area of housing,
  - Potential additional costs which could result from failure to focus on the Council's priorities
  - Risks associated with managing the accumulated capital costs of £10-15m arising from the suspension of direct delivery of the Council's Housing Development programme and the significant annual holding costs for Council-owned development sites, and
  - Continuing high cost of debt, despite recent reductions in inflation.

### Changes in risk scores and other key updates

2.5 Although there have been some updates to sections relating to a number of the risk areas, there have been **no changes to the risk scores** for any of the risk categories since the last Audit Committee on 9 July.

2.6 Some of the key areas where updates have, however, been provided include:

(a) **1a Housing - Development and Targets** ('Alternative development delivery options' and 'Timelines for delivery'). **Both remain Red RAG**. These subject areas have been updated to reflect ongoing progress with the Council agreeing a Member-driven Development Delivery Strategy. At the 12 September 2024 meeting of the Business Infrastructure and Growth Committee (BIG), Members agreed the prioritisation of Council-owned sites for development. Specific reports are being referred to the BIG Committee to seek approval for progressing marketing to identify delivery partners, e.g. for Ashford Victory Place and Thameside House.

Following discussions at the last Audit Committee, reference to risks relating to the financial viability of the schemes contained within this category have been replicated in section on **4 - Financial Resilience and Supporting Communities: Financial Pressures increased costs**.

(b) **1a Housing – Local Plan** **Still Red RAG**. This has been refreshed to reflect a number of actions taken since the last update, including:

- Progress made with the Environment Agency (EA) around their concerns on fluvial flooding. Following the decision of Council on 18 July 2024 on a number of Main Modifications to the Local Plan (details of which are outlined in the Register) the Chair of the Environment and Sustainability Committee wrote to the Inspector shortly after to set out these decisions and ask him to agree to go back to Examination. A draft Statement of Common Ground has been sent to the EA for their consideration which, if agreed, will mean there is agreement on all substantive matters, and that a key stakeholder is now satisfied that their concerns have been fully addressed.
- How Spelthorne's Local Plan will be assessed under the July 2022 National Planning Policy Framework (NPPF) (with a lower housing target) rather than the revised NPPF issued at the end of July 2024 (as the Plan is currently at Examination).

- Ongoing dialogue continuing with the DLUHC (now rebranded as MHCLG) as a result of the September 2023 Ministerial Direction, in order to reduce the risk of further intervention.

(c) **1b – Housing – Affordable – Housing supply and demand** **Still Amber RAG** – Figures for the number of people on the housing register and asylum seekers as of 13/09/24 have been added under the Risk Description section as requested at the last Audit Committee.

(d) **1b – Housing – Affordable – Housing provision and addressing need** **Still Red RAG** - Preparation of a refreshed housing strategy is under development which will take into account suggestions generated from the meeting of councillors and officers with Professor Morphet.

(e) **2- Economy – Long term uncertainty of macroeconomic environment –** **Still Amber RAG.** A review has been completed of the level of resources and expertise required to deliver the Council's Economic Prosperity Strategy.

(f) **3 - Financial Resilience and Commercial Assets – Commercial Investment Portfolio** **Still Amber RAG.** This has been updated to reference new governance arrangements relating to investment performance, through the Commercial Assets Sub-Committee (CASC) and the BIG Committee and refreshed sinking-funds modelling undertaken. Exit Strategies are being prepared and presented to CASC meetings from September to November. These strategies are being reflected in revised sinking funds modelling assumptions.

The Council continues to engage positively with the Best Value Inspection team. Due to the General Election, the appointment of two of the Assistant Inspectors has been delayed and the BVI team are now likely to complete their work later, in November 2024.

(g) **3 – Financial Resilience and Commercial Assets - Financial pressures – increased costs** **Still Amber RAG**  
Medium term financial strategy (Outline Budget) providing a framework for managing financial resources, in a planned and pro-active way, enabling measures to be implemented which may take time to deliver results ahead of when required. For example the Council is expecting significant additional pressures in 2026-27 if a Fair Funding Review and Business Rates reset happens then.

Revenue Budget targets have been put forward for making efficiency savings over the next 4 years to further safeguard the authority. New targets have been incorporated into the 2024-25 Budget. Progress against savings targets are being reported on a quarterly basis to MAT+ and councillors (as part of quarterly monitoring reports going to Corporate Policy and Resources Committee).

(h) **4 – Financial Resilience and Supporting Communities – Financial Pressures – Restricted Borrowing Levels** **Still Amber RAG.** This now references the Treasury Management options paper going to the Corporate Policy and Resources Committee (CPRC) in October 2024 looking at the benefits of drawing down medium-term pooled investments as an alternative to borrowing and partially accelerating the paying down of debt finance.



(i) **5 – Treasury Management – Return on investments.** **Still Amber RAG** - An additional risk consideration has been added relating to not aligning investments with the Council’s Environmental, Social and Governance (ESG) objectives.

(j) **6 – Climate Change – Climate change threat and impact** **Still Red RAG**  
An updated climate change strategy along with a clear action tracker was approved at the Environment & Sustainability Committee on 17 September 2024. The original action plan had 72 actions but some of these have been combined to avoid duplication. The Register gives an update on progress with these as of 12.9.24. Reference is also made to the need for collaborative measures to support a coordinated approach to strategy implementation across the organisation and looking at joint service projects.

(k) **7 – Corporate Capacity, Resources, Recruitment and Retention – Corporate Capacity & Recruitment and Retention.** **Still Amber RAG.** These have been updated to outline the potential threats of staff leaving due to workload pressures, the draw of better paid roles elsewhere, and the difficulties experienced in recruiting to a range of roles across the Council.

The results of the 2024 staff survey have recently been published. This had a very high participation rate. Most scores were highly positive regarding working conditions but the area relating to Councillors scored low.

(l) **8 – Equality, Diversity and Inclusivity – Legislative requirements** **Still Amber RAG** - A section on Equality, Diversity, and Inclusivity, including reference to LGBT community, has now been included in the induction seminar for new staff. A lead officer has now been assigned to support production of an Equality, Diversity, and Inclusivity Strategy for the Council.

(m) **9 – Working arrangements across LG tiers – Change Management/Strategic decisions** **Still Amber RAG** – An update has been provided in relation to the need to develop alternative delivery options for the Building Control Service due to significant resilience issues.

The updated Register also references developments relating to the Surrey Growth Board and Surrey Business Leadership Forum.

### **Proposed future changes to Risk Categories**

As outlined in section 2.1 it is proposed to consolidate some risk subject areas to reduce duplication of information and improve focus on the key issues. This will be discussed with the Chair/Vice-Chair of the Committee prior to any planned implementation. One such example would be under **1a – Housing – Development and Targets** where the separate Risk subject areas ‘**Alternative Development delivery options**’ and ‘**Timelines for delivery**’ could be combined into one Risk subject area of ‘**Alternative delivery options and timelines**’.

### **3. Options analysis and proposal**

3.1 The revised register and related appendices are an accurate reflection of the high-level significant risks affecting this authority, based on consultation with managers and assessment of risk and controls in operation.

3.2 **Option 1** - To consider the contents of the Corporate Risk Register including any new or expanded risk categories, any risk categories that can be consolidated or removed, residual risks highlighted, current risk management strategies (current control actions, current mitigating actions) and future risk management strategies. (preferred option); or

3.3 **Option 2** - To recommend amendments to the Corporate Risk Register for consideration by the Corporate Risk Management Group.

#### **4. Financial management comments**

4.1 As previously reported, there are major financial implications arising from several corporate risk categories on the register. This is explained further at para 2.4 above.

#### **5. Risk management comments**

5.1 The Council's corporate and strategic risks impacting the effective achievement of corporate priorities, represent the most significant risks facing the authority. The register contains nine broad strategic risk categories, comprising specific risk subject areas that align to the broader category. Risk descriptions and consequences are identified and articulated, as well as the current controls and current mitigation measures in place to manage these risks. Current controls are those actions intended to reduce the likelihood of occurrence of the risk event, whilst current mitigations are those actions intended to reduce the impact of a risk event should it occur. Taken together, current controls and current mitigating actions represent current risk management strategies. Future risk management strategies are also included in the register documentation.

#### **6. Procurement comments**

6.1 Any procurement considerations relating to the risk categories on the register should be identified by the respective Risk Owners and lead officers and are likely to form part of separate reporting/communications.

#### **7. Legal comments**

7.1 Some corporate risks facing the Council as identified on the register are driven or influenced by statutory requirements. For example, at risk category 8 - Equalities, Diversity and Inclusion refers to the Equality Act 2010.

#### **8. Other considerations**

8.1 Whilst not currently referred to as a specific risk category on the Corporate risk register, the challenges facing the external audit sector have continued to present risks across the local government sector in terms of significant ongoing delays and backlogs in external audit assurance provision relating to prior year accounts, and the subsequent limitations regarding audit coverage and opinions. The backlog issues will be addressed at an extraordinary meeting of the Audit Committee on 4<sup>th</sup> December ahead of the national cut-off date of 13<sup>th</sup> December 2024. The external audit review process relating to 2023/24 for Spelthorne is now well underway.

8.2 It should be noted that there could be further developments under any of the risk categories between the report being drafted and this being reported to the Committee. Any significant changes would therefore be reported verbally at the Committee as necessary.

## **9. Equality and Diversity**

9.1 The Corporate Risk Register incorporates Equality, Diversity and Inclusion as a specific strategic risk category and sets out current controls and current mitigation measures in place, as well as future risk management strategies. There are no further areas of progress to report as part of the September review of the risk register.

## **10. Sustainability/Climate Change Implications**

10.1 There are none separate to those in the revised Corporate Risk Register, and some updates have been made under the broad risk category 6 as part of the September review of the register.

## **11. Timetable for implementation**

11.1 Future risk management strategies show lead Council officers responsible for progressing actions, together with target timescales for implementation. The register content is reviewed and updated three times a year in consultation with the corporate Management Team, Group Heads and managers. It is coordinated, analysed, and reported by the Deputy Chief Executive, which includes identifying new risk descriptions, high level review of relevance of control and mitigation actions being reported in context of risk area, and proposing new risk management strategies in consultation with managers where deemed appropriate.

## **12. Contact**

12.1 Lee O'Neil – Deputy Chief Executive (l.o'neil@spelthorne.gov.uk)

12.2 Please also refer to contact names provided for Risk owners/accountable officers as well as lead Officers who hold responsibility for implementing systems of internal control and mitigating actions to manage and alleviate the risks identified against each broad risk category and risk subject area.

### **Background papers:**

There are none.

### **Appendices:**

**Appendix A** - Corporate Risk Register – this includes related narrative content as well as (i) level of assessed risk i.e., Red/Amber/Green - RAG status of each risk category (ii) Numerical Risk score and Direction of Travel.

**Appendix B** –Risk scoring matrix summary – level of assessed risks in the register.

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## fAPPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	1a - Housing – Development and Targets				
<b>Risk subject area</b>	Alternative Development delivery options				
	<b>Last review by</b>	l.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM			
	<b>Corporate priorities</b>	Addressing Housing Need			
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad			
	<b>Lead officer</b>	Coralie Holman Coralie Holman			
<b>Risk description</b>					
<ul style="list-style-type: none"> <li>In identifying, as part of the new Delivery Strategy, there are new risks to assess to determine whether such arrangements (for example Joint Ventures) represent financially viable solutions in the long term and that they do not accelerate the Council's financial risk exposure to an unacceptable level, consequently presenting further uncertainty and strain on the Council's financial sustainability. The prioritisation of sites within the Strategy was approved by Business, Infrastructure and Growth Committee on 12th September 2024, alternative Development Delivery Options for Council Owned Development Sites, Updated 16/9/24</li> </ul>					
<b>Current control actions</b>					
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence					
<ul style="list-style-type: none"> <li>Governance and reporting arrangements.</li> <li>Professional advice, expertise and input from officers across the Council , to guide and support on the implications of any proposed routes put forward. Advice to provide with the parameters of the Development Delivery Strategy Updated 16/9/24</li> <li>Scrutiny of decisions is embedded within the Committee system of governance, and a 'call in' procedure can be invoked if required.  Reviewed 16/9/24</li> </ul>					
<b>Current mitigating actions</b>					
These are specific actions to reduce the <u>impact</u> of a risk event should it occur					
<ul style="list-style-type: none"> <li>Progressing new Member driven strategy in consultation with residents for delivering housing outcomes across the sites currently owned by the Council. This includes a site delivery priority list. the prioritisation of sites within the Strategy was approved by Business, Infrastructure and Growth Committee on 12th September 2024, alternative Development Delivery Options for Council Owned Development Sites.  Updated 16/9/24</li> </ul>					
<b>Future actions</b>					
Type	Timeline	Description	Status	Comments	

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- Mitigation      April 2024      Identification and rigorous assessment of alternative Development Delivery Options for Council Owned Development Sites, to ensure they represent financially viable and sustainable solutions in delivering development targets.      In Progress

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	1a - Housing – Development and Targets				
<b>Risk subject area</b>	Timelines for delivery				
<div style="display: flex; align-items: center; justify-content: center;"> <div style="background-color: red; color: white; padding: 10px; margin-right: 10px;">&lt;12</div> <div style="background-color: red; color: white; padding: 20px; font-size: 24px; margin: 0 10px;">12</div> <div style="background-color: orange; color: white; padding: 10px; margin-left: 10px;">9&gt;</div> </div>	<b>Last review by</b>	l.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM			
	<b>Corporate priorities</b>	Addressing Housing Need			
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad			
	<b>Lead officer</b>	Coralie Holman			
<b>Risk description</b>					
<ul style="list-style-type: none"> <li>Further to the Council's decision to suspend direct delivery of the Housing development programme from mid-October 2023, this will further impact timelines for delivery of housing schemes and development targets (both affordable and general housing). Ashford Victory Place site currently being marketed, with a report to come back to Business Infrastructure and Growth Committee in December. Updated 16/9/24</li> </ul>					
<b>Current control actions</b>					
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence					
<ul style="list-style-type: none"> <li>Residual risk that may have to be accepted given the risk event occurrence and impact.</li> </ul>					
<b>Current mitigating actions</b>					
These are specific actions to reduce the <u>impact</u> of a risk event should it occur					
<ul style="list-style-type: none"> <li>Residual risk that may have to be accepted given the risk event occurrence and impact.</li> </ul>					
<b>Future actions</b>					
	Type	Timeline	Description	Status	Comments
	Mitigation	September 2024	Once strategy routes have been confirmed, monitoring mechanisms to be pursued of revised timelines for delivery of targets Reviewed 14/6/24	Outstanding	

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	1a - Housing – Development and Targets	
<b>Risk subject area</b>	Local Plan	
<div style="display: flex; align-items: center; justify-content: center;"> <div style="background-color: red; color: white; padding: 10px; margin-right: 10px;">&lt;12</div> <div style="background-color: red; color: white; padding: 20px; font-size: 24px; margin: 0 10px;">12</div> <div style="background-color: orange; color: white; padding: 10px; margin-left: 10px;">9&gt;</div> </div>	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM
	<b>Corporate priorities</b>	Addressing Housing Need
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad
	<b>Lead officer</b>	Heather Morgan

### Risk description

- Any further delays in the examination and adoption of the Local Plan are likely to continue to impact on the ability to bring forward the appropriate quantum of housing development.
- If the Local Plan process is not subject to robust challenge, this may not provide adequate opportunity to shape and finalise a plan at key stages to ensure it meets the (a) optimal interests of Spelthorne (b) all regulatory, legislative and professional requirements.
- Due to further pausing of the Local Plan Examination Hearings until Spring 2024, as a result of the decisions made at the extraordinary E&S committee meeting on 29 February 2024, a number of specific risks and challenges include: (i) additional pressure on SBC Local Plan to meet the housing need of other boroughs (ii) a lack of certainty around Housing Delivery (iii) legal challenge (iv) prospect of unsuitable developments (v) financial impact to the Council from delays in adoption of the plan (vi) adverse publicity and reputational damage
- Increased possibility of central government intervention to facilitate progression of the plan if the Council does not take active steps to move forward at an appropriate pace. This could have significant implications in terms of the sovereignty of decision making by the Council.
- The EA have for some time expressed concerns about flooding and on 2 May 2024, they advised that they still had some concerns around flooding issues regarding specific sites. There is a risk that if the matter is unresolved, the number and deliverability of a number site allocations may be at risk. This could potentially impact on the ability to deliver the required 5 and 10 year housing land supply.

### Current control actions

These are specific actions to reduce the likelihood of a risk event or occurrence

- Impact assessment of the revised NPPF on the Local Plan submitted for Examination (on the basis of the current draft NPPF), with options around possible next steps.  
Update 14.08.24 - the revised NPPF issued at the end of July 2024 will not apply to the Local Plan as we are currently at Examination (and transitional arrangements apply). The Local Plan will be assessed under the July 2022 NPPF (with a lower housing target)
- Planning regulatory framework



## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- Planning Committee, Officer presentations/professional advice and Member decision making
- Update 14.08.24 - There has been considerable progress with the EA around their concerns on fluvial flooding (and that in their view this impacts on the soundness of the Local Plan). The decision of Council on 18 July 2024 to (1) remove further sites as site allocations,(2) move others further back in the Plan period, (3) make changes to the flood policy and (4) ensure that development does not come forward until suitable access and egress measures are in place has hopefully addressed all their outstanding concerns. The Chair of E&S wrote to the Inspector shortly afterwards to set out these decisions and ask him to agree to go back to Examination. A draft Statement of Common Ground has been sent to the EA for their consideration. If agreed, this will mean there is agreement on all substantive matters, and that a key stakeholder is now satisfied that their concerns have been fully addressed.
- As a result of the Ministerial Direction (September 2023), monthly progress meetings continue to be held between senior officers from DLUHC and the Council. Update 14.08.24 -these meetings were suspended during the pre-election period and will re-start in September. There has been considerable progress on a number of fronts since September 2023 which have all been reported. The Council has met a number of key milestones. On-going dialogue around the work we have done reduces the risk of further intervention.
- Strategic flood risk assessment (SFRA) as part of Local Plan process, informing decision making.  
Update 14.08.24 - all revised and updated SFRA's have now been agreed by the EA. This will be formally covered and agreed in the Statement of Common Ground which has been sent to them. Once agreed, this risk will have been mitigated
- Planning policies and guidelines
- Future review of the Strategic Flood Risk Assessment (SFRA) in light of the River Thames Scheme modelling as required.

### Current mitigating actions

These are specific actions to reduce the impact of a risk event should it occur

- Strategic flood risk assessment (SFRA) as part of Local Plan process, informing decision making. Update 14.08.24 - There has been considerable progress with the EA around their concerns on fluvial flooding (and that in their view this impacts on the soundness of the Local Plan). The decision of Council on 18 July to remove further sites as site allocations, to move others further back in the Plan period, changes to the flood policy and ensuring that development does not come forward until suitable access and egress measures are in place has hopefully addressed all their outstanding concerns. A draft Statement of Common Ground has been sent to the EA for their consideration.
- Impact assessment of the revised NPPF on the Local Plan submitted for Examination (on the basis of the current draft NPPF), with options around possible next steps.

### Future actions

Type	Timeline	Description	Status	Comments
• Control	TBD	Preparation and adoption of New Local Plan to meet future need and strengthen affordable Housing Policy	In Progress	Update 13.09.24 - Awaiting decision of Planning Inspector on whether the Council can go back to Examination or not
• Mitigation	TBD	Preparation and adoption of New Local Plan to meet future need and strengthen affordable Housing Policy	In Progress	See action on Control section

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

• Mitigation	Dec 2024	All schemes progressed on Council owned land considered against the flood risk to ensure appropriate mitigation is included within the scheme design.	In Progress	flood risk mitigation will be integral to all decisions by councillors on joint ventures/partnerships on sites within Staines-upon-Thames
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## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	1a - Housing – Development and Targets				
<b>Risk subject area</b>	Housing Development Programme				
<div style="text-align: center;"> <span style="font-size: 2em; color: red; background-color: red; padding: 5px;">12</span> </div> <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <span style="background-color: red; color: white; padding: 2px 5px;">&lt;12</span> <span style="background-color: orange; color: white; padding: 2px 5px;">9&gt;</span> </div>	<b>Last review by</b>	l.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM			
	<b>Corporate priorities</b>	Addressing Housing Need			
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad			
	<b>Lead officer</b>	Coralie Holman			
<b>Risk description</b>					
<ul style="list-style-type: none"> <li>A number of factors have continued to very significantly affect the financial viability of each project (as previously reported) leading to rising overall costs, and risk of adverse financial position of the Council. In responding to this threat, the Council decided to suspend direct delivery of the Housing development programme from mid-October 2023. Options are being explored which will determine the extent to which accumulated capitalised costs of £10m to £16M (as at end of 2023-24) will need to be charged to Revenue. In addition, holding costs of £1.6m per annum relating to the housing delivery schemes are continuing to be incurred until outcomes are delivered on the sites. This continues to have a significant financial impact on the Council's budgetary position.</li> </ul> <p>Updated 16/9/24</p>					
<b>Current control actions</b>					
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence					
<ul style="list-style-type: none"> <li>Governance and reporting arrangements. Examples include progress reporting of Property Development projects to officer and Member groups. Specific reports are referred to BIG Committee to seek approval for progressing marketing to identify delivery partners most recently Ashford Victory Place and Thameside House</li> <li>Established policies and framework</li> </ul>					
<b>Current mitigating actions</b>					
These are specific actions to reduce the <u>impact</u> of a risk event should it occur					
<ul style="list-style-type: none"> <li>Progressing new Member driven strategy in consultation with residents for delivering housing outcomes across the sites currently owned by the Council.</li> <li>Reserves strategy. Application of earmarked financial reserves to the Council's budget.</li> <li>Assessment of options incorporating mitigation of holding costs on development sites.</li> </ul>					
<b>Future actions</b>					
	Type	Timeline	Description	Status	Comments

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- Mitigation . Finalisation and implementations of Member driven strategy for delivering housing outcomes across sites owned by the Council was approved by BIG on 12th September 2024. In Progress  
Updated 16/9/24

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	1b - Housing – Affordable	
<b>Risk subject area</b>	Housing Supply and Demand	
<div style="display: flex; align-items: center; justify-content: center;"> <div style="background-color: red; color: white; padding: 5px; margin-right: 10px;">&lt;12</div> <div style="background-color: orange; color: black; font-size: 2em; padding: 10px; margin-right: 10px;">6</div> <div style="background-color: orange; color: black; padding: 5px; margin-left: 10px;">6&gt;</div> </div>	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM
	<b>Corporate priorities</b>	Addressing Housing Need
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad
	<b>Lead officer</b>	Karen Sinclair Housing Admin
<b>Risk description</b>		
<ul style="list-style-type: none"> <li>Lack of affordable housing supply increases homelessness with increased demand for temporary or social housing. The demand for temporary housing increased significantly over the last few years and is expected to increase further. The cost of temporary accommodation sourced on the private market, grows as the demand increases. At present the average annual cost of a placement in temporary accommodation is approximately £20,000 per annum. The increased demand is caused by the shrinking private rented sector, affordability of rent and the wider cost of living crisis. Long term prospect for increase in supply of housing appears bleak due to lack of interest from RPs to take s.106 units, the Council having suspended its direct development and wider viability challenges for developers.  Update 16/9/24</li> <li>Increased rate of determination of asylum seekers claims is resulting in more residents at the Asylum Seekers initial accommodation hotel in the Borough presenting to the Council seeking housing support.</li> <li>Geopolitical factors continue to present increased demand in supporting refugee communities and consequently managing the provision of suitable and secure housing.</li> <li>Housing provision (types of units) does not meet local resident needs or address client special needs for accommodation. Any delay in adopting the Local Plan does not assist in progressing a wide spread of units for differing needs. If fundamental housing needs are not met / maintained this may have a negative impact on the health and wellbeing of individuals / families.</li> <li>If information relating to housing need becomes out of date or is significantly inaccurate this could have implications for the effectiveness and implementation of housing and homelessness strategies</li> </ul>		
<ul style="list-style-type: none"> <li>This is an external pressure based on asylum seekers coming to the UK</li> <li>Cost of living crisis, shrinking private rented sector, insufficient number of affordable housing, migration - refugees and Asylum seekers.</li> </ul>		
<b>Current control actions</b>		
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence		

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- The review process for S106 agreements with Developers aims to capture additional affordable housing.
- Quarterly Strategic Action Plan monitoring and review relating to Housing and Homelessness Strategies. Member approved tenancy strategy.
- More robust eligibility criteria now applied in determining applicants for the Social Housing register, to reflect allocation policy.  
Latest Housing Register Numbers as at 13/9/24 are as follows:  
Total on Housing Register 2,363  
Excluding Category D ("Low housing Need and no "deemed need") totals 1,492.  
Update as 16/9/24
- Homelessness Reduction Act incorporates proactive and preventative measures to support those at higher risk of homelessness
- Collaborative working with Registered Social Landlords and Partners to pursue delivery of affordable housing need and manage pipeline of units.

### Current mitigating actions

These are specific actions to reduce the impact of a risk event should it occur

- Council is lobbying for additional funding support in recognition of the resourcing and financial impact of more asylum seekers presenting in need of housing support.
- Spelthorne participated in the Local Authority Housing Fund (LAHF) capital funding programme (Rounds 1, 2 and 3) to acquire properties to house homeless refugees, as well as delivery of temporary accommodation. Spelthorne successfully delivered in the first 2 rounds of the LAHF programme and secured funding for the extension of Rounds 1 and 2, to deliver further 52 units (50 of which are temporary accommodation). In addition, Spelthorne was allocated further funding for a minimum of 8 units in Round 3 and applied for additional allocation of funding. The delivery of both the extension to Round 1 and 2 as well as Round 3 programmes was successful completed in September 2024.

Updated 16/9/24

- Applying Home Office funding and implementing wider schemes to provide additional support to refugees.

### Future actions

Type	Timeline	Description	Status	Comments
• Mitigation		Targeted exercise to identify potential tenancy fraud , with a view to freeing up social housing	In Progress	
• Mitigation		Acquisition of properties to support refugees forms an important strategy that the Council is pursuing. (Partly funded from the LAHF grant rounds 1 , 2 and 3).	In Progress	

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	1b - Housing – Affordable	
<b>Risk subject area</b>	Housing provision and addressing need	
<div style="display: flex; align-items: center; justify-content: center;"> <div style="background-color: red; color: white; padding: 10px; margin-right: 10px;">&lt;12</div> <div style="background-color: red; color: white; padding: 20px; font-size: 24px; margin-right: 10px;">12</div> <div style="background-color: orange; color: white; padding: 10px; margin-left: 10px;">9&gt;</div> </div>	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM
	<b>Corporate priorities</b>	Addressing Housing Need
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad
	<b>Lead officer</b>	Karen Sinclair Housing Admin
<b>Risk description</b>		
<ul style="list-style-type: none"> <li>Housing provision (types of units) does not meet local resident needs or address client special needs for accommodation. Any delay in adopting the Local Plan does not assist in progressing a wide spread of units for differing needs. If fundamental housing needs are not met / maintained this may have a negative impact on the health and wellbeing of individuals / families.</li> <li>If information relating to housing need becomes out of date or is significantly inaccurate this could have implications for the effectiveness and implementation of housing and homelessness strategies</li> <li>Complex needs amongst homeless clients requiring intensive support. Without the support the clients are unable to maintain a tenancy, which even if placed, will lead to reoccurring homelessness. This service is currently externally funded, but the future of the fund is uncertain. The demand for this service is also growing and additional resources are needed.</li> </ul>		
<b>Current control actions</b>		
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence		
<ul style="list-style-type: none"> <li>Collaborative working with Registered Social Landlords and Partners to pursue delivery of affordable housing need and manage pipeline of units.</li> <li>The review process for S106 agreements with Developers aims to capture additional affordable housing.</li> <li>Quarterly Strategic Action Plan monitoring and review relating to Housing and Homelessness Strategies. Member approved tenancy strategy.</li> <li>More robust eligibility criteria now applied in determining applicants for the Social Housing register, to reflect allocation policy.</li> </ul>		
<b>Current mitigating actions</b>		
These are specific actions to reduce the <u>impact</u> of a risk event should it occur		

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- Administration and Group Leaders had a productive session with Professor Morphet who generated a number of suggestions as to strategies which could be explored to help address provision of affordable housing. The team is currently working on the preparation of a refreshed housing strategy and will seek to incorporate the suggestions into the new strategy

Future actions	Timeline	Description	Status	Comments
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## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	2 - Economy				
<b>Risk subject area</b>	Long Term uncertainty of macroeconomic environment				
<div style="display: flex; align-items: center; justify-content: center;"> <div style="background-color: orange; width: 40px; height: 40px; display: flex; align-items: center; justify-content: center; margin-right: 10px;">9</div> <div style="display: flex; flex-direction: column; align-items: center; justify-content: center;"> <div style="background-color: orange; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin-bottom: 5px;">&lt;9</div> <div style="background-color: orange; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin-top: 5px;">6&gt;</div> </div> </div>	<b>Last review by</b>	l.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM			
	<b>Corporate priorities</b>	Resilience			
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad			
	<b>Lead officer</b>	Heather Morgan			
<b>Risk description</b>					
<ul style="list-style-type: none"> <li>Whilst Council actions aim to support businesses and the local economy, these actions alone can only have a limited impact due to the overarching effects and long-term uncertainty of the macroeconomic environment, market volatility and geopolitical factors over which the Council has incredibly little influence.</li> </ul>					
<b>Current control actions</b>					
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence					
<ul style="list-style-type: none"> <li>The Business, Infrastructure and Growth (BIG) Committee provides a mechanism for the Council's Economic Prosperity strategy to be periodically refreshed and reported. The new committee gives the opportunity to ensure economic development considerations are integral to investment, development and place shaping decisions</li> <li>16.-08.24 - An Economic Prosperity Strategy has been developed (2023 – 2028) which addresses the key actions which face the borough. It incorporates a detailed strategy action plan detailing performance management measures in anticipating outcomes. An internal review has been undertaken and has determined the strategy needs refining - it has considered skills/employment, our hub and incubator, inward investment and whether more business engagement is required at a strategic level. The outcome of the review has determined the level of resources and expertise required to deliver the strategy and the rest of the ED function. The service plan for economic development (which reflects this) will go to BIG Committee in autumn 2024.</li> </ul>					
<b>Current mitigating actions</b>					
These are specific actions to reduce the <u>impact</u> of a risk event should it occur					
<ul style="list-style-type: none"> <li>Whilst Council actions aim to support businesses and the local economy, these actions alone can only have a limited impact due to the overarching effects and long-term uncertainty of wider externalities.</li> </ul>					
<b>Future actions</b>					
Type	Timeline	Description	Status	Comments	

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	2 - Economy	
<b>Risk subject area</b>	Cost of doing Business crisis	
	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM
	<b>Corporate priorities</b>	Resilience
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad
	<b>Lead officer</b>	Heather Morgan

### Risk description

- The potential for increased level of business failures amidst the growing 'Cost of doing business crisis' has led to closure of some retail and business units across the borough as a result of wider economic instability (inflationary pressures and increase in borrowing) and the need to pass on increased costs to the consumer. This impacts the economic prosperity of the borough and affects collections rates for business rate income, with reduced levels impacting finances and services available.

### Current control actions

These are specific actions to reduce the likelihood of a risk event or occurrence

- Government assisted Energy Bills Support Scheme (EBSS) to support increased energy costs / bills.
- Monthly monitoring of Collection fund - Business Rates and Council Tax collection rates. Regular reporting of these to Corporate Debt Group and as part of KPI's to Councillors.  
  
As at end of August 2024 - Business rates collection rate was 49.8% compared to same stage 23/24 which was 50.8%.  
  
As at end of August Council Tax collection rate – 48.2% compared to 23/24 which was 48.6%  
  
Updated 16/9/24
- Shared Prosperity Fund Investment Plan to support economic regeneration. From a business perspective the Council secured funding for (1) climate change audits (2) consultancy support to ensure businesses can be sustained (3) funding for employment and skills hub (termed youth hub at point of bid submission).  
16.08.24 - All the projects are now well into implementation phase with audits underway, and support in place.

### Current mitigating actions

These are specific actions to reduce the impact of a risk event should it occur


- 16.08.24 - Approved Town Centres Strategy for 2023 set out key actions for smaller shopping areas and parades. These have been implemented and provided targeted support and interventions, with timescales and measures of success identified. The work of this strategy has now been completed. This mitigation action will be removed at the next CRR review.

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- Local mitigating measures taken by the Economic Development team (to influence areas where a degree of local control can be applied). These include several measures to strengthen the resilience of local businesses in the face of future challenges - e.g. website design and increasing social media presence, energy efficiency measures, business networking and business to business support
- 16.08. 24 - The employment and skills hub relocated to its new location (old Argos unit) in mid August. Considerable strides have been made to extend multi-agency working with other partners to assist residents getting back into work (best use pooled resources)

Future actions					
Type	Timeline	Description	Status	Comments	

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	3 - Financial Resilience and Commercial Assets	
<b>Risk subject area</b>	Commercial investment portfolio	
	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM
	<b>Corporate priorities</b>	Resilience
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad
	<b>Lead officer</b>	Coralie Holman
<b>Risk description</b>		
<ul style="list-style-type: none"> <li>Evolving externalities arising since the aftermath of the pandemic now compounded by the Cost-of-Living crisis and inflation, both continue to increase the Council's exposure to financial risk, with possible implications for the investment portfolio, including loss of anticipated rental income and increased costs from vacant space within the commercial assets. This may impact on the financial position, and our ability to deliver discretionary services, leading in the worst-case scenario to the Council becoming financially unsustainable with associated reputational damage.</li> <li>If key commercial asset leases are not maintained or renewed this may have implications for maintaining flow of rental income. Where asset holdings are aligned to a specific sector or location this could be impacted by wider externality factors and potentially present limitations in deriving optimal value</li> </ul>		
<b>Current control actions</b>		
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence		
<ul style="list-style-type: none"> <li>A new overarching Asset Management Strategy &amp; Asset Management Plan has been completed for the 24/25 - 27/28 financial year period - updated 19/9/24 by CH</li> <li>Individual Business Plans for all assets, with a summary portfolio level AIS focused on the coming 12 month period. New Business Plans for 25/26 are being progressed from Sept 24 - for presentation to committee in Jan/Feb 25 - updated 19/9/25 by CH</li> <li>Capital Strategy includes key performance indicators with a particular focus on the investment portfolio. The investment portfolio has it's own bespoke KPIs and Risk Register. Tweaked by CH 2/8/24</li> <li>Performance management measures – KPIs are reviewed annually and benchmarked against external, regional property indicators i.e., vacancy rates, market rentals, occupier demand. Updated 29/7/24</li> <li>Governance reporting - Investment performance reported regularly to Councillors at Commercial Assets Sub-Committee, Business and Infrastructure Growth Committee and Corporate Policy and Resources Committee.  Updated 29/7/24</li> </ul>		

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

### Current mitigating actions

These are specific actions to reduce the impact of a risk event should it occur

- Sinking fund reserves strategy to support periods of tenancy voids and offset dips in rental income. Monitoring of contributions and overall amount of sinking fund balance held.
- Sinking Funds modelling has been refreshed over a 50 year period, with ability to input and flex a range of parameters. Will be reported to BIG/CASC/CPRC Updated 29/7/24
- Periodical financial health check of tenants to support accurate forecasts
- Ongoing management of voids with a view to reducing the portfolio void rate. Assets team proactively working to fill voids quickly using external lettings agents, understanding market demand and the size of accommodation needed.
- SBC participated in a review of capital risk mitigation with DLUHC and Chartered Institute of Public Finance and Accountancy (CIPFA) and is in the process of taking on board any improvement suggestions. On 8th May DLUHC (now MHCLG) announced a Best Value Inspection process to review how the Council mitigates risk. The Council is actively engaging with the Inspection Process which the Council has now been advised will last until the end of November 2024.

Updated 16/9/24

- Proactive monitoring of key lease renewals to secure ongoing rental income, or pursue options for alternative use . Assets team engage with tenants ahead of lease ends/breaks coming up. Two new team members recruited.

Reviewed 16/9/24

- Public Interest Report Action Plan implemented. Review against PIR Action Plan reported to July 2024 Audit Committee, and accepted by Councillors.

Exit Strategies being prepared and presented to Commercial Assets Sub-Committee meeting September to November. These strategies being reflected in revised sinking funds modelling assumptions.

Updated 16/9/24


- Invite external consultants with specialist expertise to critique approaches and share any learning points. For example JLL's report to Development Sub-Committee in February 20024 and March 2024 Audit Committee.

Updated 14/6/24

### Future actions

Type	Timeline	Description	Status	Comments
• Mitigation	Ongoing	To explore and assess opportunities for further diversification of the Council's asset holdings	In Progress	
• Mitigation	End of November 2024 - updated 19/9/24 CH	The Council will actively and openly engage with the Best Value Inspection team to assist in an independent review of risk management and governance .	In Progress	This is an on-going piece of work where the deadline has been extended due to the later than expected appointment of the final 2 inspectors

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	4 - Financial Resilience and Supporting Communities	
<b>Risk subject area</b>	Financial Pressures - increased costs	
	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM
	<b>Corporate priorities</b>	Resilience
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad
	<b>Lead officer</b>	Terry Collier
<b>Risk description</b>		
<ul style="list-style-type: none"> <li>Significantly increased financial pressures faced by the Council, similar to other councils arising from the recent inflationary pressures on fuel, gas and electricity, staff pay pressures, significantly increased PWLB loan rates presenting higher borrowing costs, managing accumulated capitalized costs and annual holding costs relating to housing delivery schemes, and other external factors are collectively causing a significant increase in revenue costs and capital expenditure. Equally the housing crisis is increasing the need to spend on temporary accommodation to support residents</li> </ul> <p>Potential risk as housing and cost of living crises continue to impact on households more of them will struggle to pay council tax bills</p> <ul style="list-style-type: none"> <li>Risk that the new Government in addressing national public expenditure pressures reduces funding available for local government adding to the challenge of providing discretionary services. This will become clearer once Spending Review announced and Budget on 30th October is announced.</li> </ul>		
<b>Current control actions</b>		
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence		
<ul style="list-style-type: none"> <li>Financial impact assessment modelling undertaken as proactive measure.</li> <li>Annual budget process incorporates review and scrutiny at several stages including the informal all councillors budget briefings.</li> </ul> <p>Under Committee system process has been made more transparent</p> <p>For 2025-26 Budget process we will be implementing on a targeted pilot basis Zero Based Budgeting with a view to rolling out more broadly for 26-27 Budget process. Initial pilots underway in Economic Development, Independent Living and Procurement.</p> <p>Reviewed 29/7/24</p> <ul style="list-style-type: none"> <li>All Councillor Budget Briefings, undertaken 3 times a year setting out financial risks in context of budgetary position, informing budgetary process. First Budget Briefing for 2025-26 undertaken on 15th July 2024</li> </ul> <p>Updated 29/7/24</p>		

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

### Current mitigating actions

These are specific actions to reduce the impact of a risk event should it occur

- Inflationary pressure contingency reserve to assist with any anticipated budget deficit.
- Earmarked revenue reserves with forecast for the next four years. Financial Reserves strategy subject to regular review, with annual review and approval of the Reserves Strategy by Corporate Policy and Resources Committee  
Updated 29/7/24
- Monitoring levels of reserves used at SBC and key financial performance indicators. Benchmarking and analysis of other Surrey Boroughs and districts use of reserves. Also benchmarking through LG Improve  
Updated 14/6/24
- Medium term financial strategy (Outline Budget) providing a framework for managing financial resources, in a planned and pro-active way. Enables measures to be implemented which may take time to deliver results ahead of when required. For example the Council is expecting additional pressures in 2026-27 if a Fair Funding Review and Business Rates reset happens then.  
  
Updated 16/9/24
- Budget put forward for making efficiency savings over the next 4 years to further safeguard the authority. New targets have been incorporated into the 2024-25 Budget. Progress against savings targets being reported on a quarterly basis to MATplus and councillors  
  
Updated 16/9/24

### Future actions

Type	Timeline	Description	Status	Comments
• Mitigation	January 2025	SBC has participated in a review of capital risk mitigation with DLUHC and Chartered Institute of Public Finance and Accountancy (CIPFA) and is in the process of taking on board any improvement suggestions. DLUHC has notified the Council that it has commissioned a Best Value Inspection to be undertaken now expected to finish by end of November 2024. The Council is positively engaging with the Best Value Inspection Process. Updated 20/9/24	In Progress	The Council will positively engage with the Best Value Inspection process and address any recommendations.
• Mitigation		Progressing medium term financial strategy and efficiency savings plan.	In Progress	
• Mitigation		Monitoring and periodically reporting on outcomes of 4 year efficiency savings plan	In Progress	

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	4 - Financial Resilience and Supporting Communities		
<b>Risk subject area</b>	Restricted borrowing levels		
	<b>Last review by</b>	l.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM	
	<b>Corporate priorities</b>	Resilience	
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad	
	<b>Lead officer</b>	Paul Taylor	

### Risk description

- As the Council's borrowing levels have necessarily become restricted in the context of wider financial and externality risk, this could impact how the Council responds to unexpected events or factors presenting uncertainty and therefore its financial resilience. Moving forwards it is exploring options both for generating capital receipts and drawing down some of its medium term financial investments which will reduce need for future borrowing. Whilst the Best Value Inspection process continues the Council remains able to borrow from the Public Works Loan Board. Officers will be bringing an options paper to October 2024 Corporate Policy and Resources Committee looking at benefits of drawing down medium termed pooled investments as an alternative to borrowing and partially accelerating the payment down of debt finance.

Updated 16/9/24

### Current control actions

These are specific actions to reduce the likelihood of a risk event or occurrence

- Revised Treasury Management Strategy approved with amendments to the prudential indicators

### Current mitigating actions

These are specific actions to reduce the impact of a risk event should it occur

- Participated in a Capital Assurance review with DLUHC and Chartered Institute of Public Finance and Accountancy (CIPFA) and in the process of taking on board any improvement suggestions. Coinciding with the publication of the final Best Value Guidance, DLUHC notified the Council of a Best Value Inspection process to be completed by end of November 2024. This will review risk mitigation arrangements around level of borrowing and reliance on investment assets income.

Updated 16/9/24

- Participated in Surrey wide financial resilience review with commissioning of independent consultants to consider financial metrics as part of this assessment

### Future actions

Type	Timeline	Description	Status	Comments
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## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- Mitigation                      Any outcomes or further learning arising from the Surrey wide financial review will continue to be considered.                      In Progress
  
- Control                      December 2024/early 2025                      Council will positively engage with the Best Value Inspection process and will address any recommendations which emerge. Reviewed 16/9/24                      In Progress

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	4 - Financial Resilience and Supporting Communities	
<b>Risk subject area</b>	Financial Pressures - Cost of Living Crisis and increased demand on Council Services	
	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM
	<b>Corporate priorities</b>	Resilience
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad
	<b>Lead officer</b>	Terry Collier

### Risk description

- Combined with reduced fee income and potential for lower collection rates of Business Rates and Council Tax (exacerbated further by the continued Cost-of-Living crisis) this could have an impact on the Council's ability to deliver services as well as creating greater demands on community services, leading to a negative impact on the Borough's residents and communities (economic, social, physical and mental wellbeing). This coincides with increased service demands, leading to further growth bids for resourcing which are not financially sustainable or affordable unless these can be offset by savings. Ongoing financial pressures, in worst case scenario, could lead to the Council becoming financially unsustainable
- As part of delivery regeneration/housing outcomes on existing council sites across the portfolio owned by the Council there is a risk, which could be magnified depending on timing relative to the property valuations cycle, that some of the schemes will result in capital losses which will need to be written to Revenue. Equally if schemes prove abortive, accumulated capitalised costs would need to be written to Revenue. A number of factors have continued to very significantly affect the financial viability of each project (as previously reported) leading to rising overall costs, and risk of adverse financial position of the Council. In responding to this threat, the Council decided to suspend direct delivery of the Housing development programme from mid-October 2023. Options are being explored which will determine the extent to which accumulated capitalised costs of £10m to £16M (as at end of 2023-24) will need to be charged to Revenue.

In addition, holding costs of £1.6m per annum relating to the housing delivery schemes are continuing to be incurred until outcomes are delivered on the sites. This continues to have a significant financial impact on the Council's budgetary position.

Updated 18/9/24

### Current control actions

These are specific actions to reduce the likelihood of a risk event or occurrence

- Annual budget process incorporates Officer and Member review and scrutiny at several stages with measures to support production of balanced budget. Service planning process integrates with annual budget process.
- Medium term financial strategy providing a framework for managing financial resources.

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- All Councillor Budget Briefings, undertaken 3 times a year setting out financial risks in context of budgetary position, informing budgetary process.

### Current mitigating actions


These are specific actions to reduce the impact of a risk event should it occur

- Budget put forward for making efficiency savings over the next 4 years to further safeguard the authority. Progress against this target is currently being re-assessed, and additional measures put in place to maintain clear focus on cashable savings.
- Cashable savings working group set up to target efficiencies and savings.
- Procurement Projects Board set up to ensure focus on delivering value for money from procurement.
- Use of Local Authority Housing Fund enabled purchase of approximately 60 Temporary Accommodation with near 50% grant funding and transferring the units to the Council's Housing Company. Having direct control of such units will save the Council approximately £3m per annum compared to the alternative of placing in private bed and breakfast. This is significantly mitigating the housing pressures on the Council's Revenue Budget. Updated 16/9/24
- The Council maintains a Reserves Strategy, refreshed and reviewed every year by Corporate Policy and Resources Committee. One aspect of this strategy is to ensure that sufficient cash backed revenue reserves are maintained to assist in offsetting any write off of capital losses/capitalised costs to Revenue.
- Governance and reporting arrangements. Examples include progress reporting of Property Development projects to officer and Member groups. Specific reports are referred to BIG Committee to seek approval for progressing marketing to identify delivery partners most recently Ashford Victory Place and Thameside House

### Future actions

Type	Timeline	Description	Status	Comments
• Mitigation		Progress against cashable savings has been incorporated into the quarterly budget monitoring reports.  Updated 16/9/24	In Progress	
• Mitigation		Progress against cashable savings has been incorporated into the quarterly budget monitoring reports.  Updated 16/9/24	In Progress	

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	5 - Treasury Management		
<b>Risk subject area</b>	Return on Investments		
	<b>Last review by</b>	l.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM	
	<b>Corporate priorities</b>	Resilience, Services	
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad	
	<b>Lead officer</b>	Paul Taylor	
<b>Risk description</b>			
<ul style="list-style-type: none"> <li>If the Council receives a reduced return on long term investments and/or investments become insecure in the current / future economic climate, then this will have an adverse impact on the Council's financial position, weakening financial resilience. Currently interest rates are relatively high which has boosted returns, following the first 25 basis points reduction in August 2024 it is expected that the Bank of England will make a number of base rate reductions over the next eighteen months or so.</li> </ul> <p>A risk of missing opportunity to lock in good return rates in investments such as supranational bonds. However, need to be weighed up against need to maximise ability to internally borrow and reduce need to externally borrow.</p> <p>Updated 16/9/24</p> <ul style="list-style-type: none"> <li>Risk of not aligning investments with the Council's Environmental, Social and Governance (ESG) Objectives . If Council draws down its medium term pooled investments this becomes less of an issue/risk.</li> </ul> <p>Updated 29/7/24</p>			
<b>Current control actions</b>			
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence			
<ul style="list-style-type: none"> <li>Council's investments are managed internally in consultation with specialist advisors Arlingclose.</li> <li>Investments with approved institutions as per policy and strategy</li> <li>Aim to select counter parties of the highest credit quality.Credit ratings monitored. Credit Default Swaps (SDS) are monitored</li> </ul>			

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- February 2024 Council has approved Strategy for 2024-25. Officers are in ongoing discussions with our Treasury management advisers and will be bringing forwards options for evolving the strategy which could involve drawing down medium term financial investments, thereby reducing the need for future borrowing, and or fixing some funds in supranational bonds (such as European Investment Bank) delivering good fixed rate interest returns

Officers in discussion with Treasury Management advisers who will be setting out options for councillors to evaluate in report going to October Corporate Policy and Resources Committee

Updated 16/9/24

- Application of professional (CIPFA) Code of Practice and Prudential and Treasury Management Codes
- Performance measurement and outturn reporting, as well as Investment Benchmarking
- Regular engagement with the Council's specialist advisors at Officer and Member level to enhance knowledge, subsequently informing decisions.
- Arlingclose to provide regular training sessions for councillors. Last session January 2024.

Updated 16/9/24

### Current mitigating actions

These are specific actions to reduce the impact of a risk event should it occur

- By investing in a balanced mix of unit funds linked to assets, bonds and equities this is intended to spread the risk and minimize the impact of occurrence of any adverse investment returns.

### Future actions

Type	Timeline	Description	Status	Comments
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## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	5 - Treasury Management				
<b>Risk subject area</b>	Borrowing				
	<b>Last review by</b>	l.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM			
	<b>Corporate priorities</b>	Resilience, Services			
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad			
	<b>Lead officer</b>	Paul Taylor			
<b>Risk description</b>					
<ul style="list-style-type: none"> <li>Significant rises in interest rates and increased cost of borrowing / loans influence the Council's treasury activities. This also presents positive opportunities in enabling great returns to be earned on the Council's surplus cash supporting the Revenue Budget.</li> <li>Risk that Council fixes borrowing required for existing capital programme too early and locks into a higher cost of borrowing. 12/6/24</li> </ul>					
<b>Current control actions</b>					
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence					
<ul style="list-style-type: none"> <li>Approved Treasury Management Strategy for 2024-25. Updated 16/9/24</li> <li>Application of professional (CIPFA) Code of Practice and Prudential and Treasury Management Codes</li> <li>Regular engagement with the Council's specialist advisors at Officer and Member level to enhance knowledge, subsequently informing decisions.</li> </ul>					
<b>Current mitigating actions</b>					
These are specific actions to reduce the <u>impact</u> of a risk event should it occur					
<ul style="list-style-type: none"> <li>Ongoing review and assessment of options with Treasury Management (TM) advisors regarding the Council's borrowing strategy in the context of interest rates rises and volatility.  Officers discussing options with TM advisers, options could include reducing medium term pools to facilitate short term internal borrowing to reduce need for external borrowing. Reviewed 16/9/24</li> <li>Fixed interest rate on most debt and for investment assets and an interest equalization reserve is in place.</li> </ul>					
<b>Future actions</b>					
	Type	Timeline	Description	Status	Comments

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- Control      Jan 2024      Arlingclose to provide training session for councillors.      Outstanding

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	6 - Climate Change	
<b>Risk subject area</b>	Climate Change threat and impact	
<div style="text-align: center;"> <div style="background-color: red; color: white; width: 40px; height: 40px; margin: 0 auto; display: flex; align-items: center; justify-content: center; font-size: 24px; font-weight: bold;">12</div> <div style="display: flex; justify-content: space-around; width: 100%; margin-top: 5px;"> <span style="background-color: red; color: white; padding: 2px 5px;">&lt;12</span> <span style="background-color: red; color: white; padding: 2px 5px;">12&gt;</span> </div> </div>	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM
	<b>Corporate priorities</b>	Environment
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad
	<b>Lead officer</b>	Sandy Muirhead

### Risk description

- Climate change represents a significant global threat driving social and economic disruption with far ranging consequences for socioeconomic stability. Climate change and extreme weather events impact health and safety, food systems, supply chains & procurement, economic productivity, and losses. Due to climate change, there is a specific risk to the Borough of Spelthorne in terms of more extreme heat and increased flooding, besides the more global threats such as severe storms (threat to loss of life and limb) impacting locally. As climate change is happening updated the RAG status to 12 as the changing climate will have impacts on the Borough. Reviewed 12.9.24

### Current control actions

These are specific actions to reduce the likelihood of a risk event or occurrence

- Environment and Sustainability Committee developed an action plan as part of the climate change strategy to move the Council towards net zero carbon emissions, aiming to get to Net Zero for Scope 1 and 2 emissions by 2030. The climate change strategy has been updated along with a clear action tracker and is going to Committee for approval on 17 September 2024. The original action plan had 72 actions but we have combined a number to avoid duplication; 8 are fully complete, 51 are ongoing, 6 are being explored through background work and 7 have not yet started. (reviewed 12.9.24)
- Environment and Sustainability Committee will continue to explore ways to meet a carbon neutral target, and to promote climate change as an issue that needs to permeate all Council areas to ensure SBC reduce their carbon footprint and adapt to climate change.
- Surrey County Council have developed a strategy on Climate Change referred to as Greener Futures Delivery Plan which the Environment and Sustainability Committee have supported. Linked Spelthorne's Climate Change strategy where appropriate to Greener Futures Delivery Plan.
- Collaborative measures required to support a coordinated approach to strategy implementation across the organisation and looking at joint service projects. (Reviewed 12.9.24)



## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- Continuing to roll out Carbon Literacy training days and participating staff have committed to a range of carbon saving pledges. Some member Induction training was undertaken in June 2023. The Council has reached bronze level in the carbon literacy hierarchy and is aiming for silver in Q4 24/25.

### Current mitigating actions

These are specific actions to reduce the impact of a risk event should it occur

- Funding resources secured to support strategy implementation and are being allocated and targeted to reduce the carbon footprint of the Council to help ensure SBC are net zero by 2030. Seeking alternative funding to continue to develop schemes to meet net zero targets.
- The corporate plan has key actions on climate change and is supported by the climate change strategy and associated actions which require services to address the net zero targets the Council has set.

### Future actions

Type	Timeline	Description	Status	Comments
Control		Within the legal constraints to implement the proposed supplementary planning guidance (SPD) to assist in future properties being better adapted to both heat and cold. However, SPD moving beyond guidance to having more weight in the planning process is dependent on implementation of the Local Plan.	Outstanding	The guidance is helpful in demonstrating what can be done to improve the resilience of properties to climate change
Mitigation	2022 to 2028	Reviewing and updating climate change strategy and ensuring fully aligned with corporate plan actions but includes mitigation options for Council assets, enhancement of biodiversity and adaptation. To be completed 17.9.24 subject to Committee agreement. (reviewed 11.9.24)	In Progress	Review of climate change strategy completed but needs resourcing to fully implement and also needs cross service input.

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	6 - Climate Change	
<b>Risk subject area</b>	Responding and adapting to Climate Change	
<p>A risk score of 8 is displayed in a large orange square. To its left is a smaller orange square containing '&lt;8' and to its right is a smaller orange square containing '9&gt;'.</p>	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM
	<b>Corporate priorities</b>	Environment
	<b>Risk owner</b>	Lee O'Neil Terry Collier Daniel Mouawad
	<b>Lead officer</b>	Sandy Muirhead
	<b>Risk description</b>	<ul style="list-style-type: none"> <li>If the Council is not pursuing measures or seeking positive opportunities to mitigate and adapt to climate change, it could result in criticism / bad press / public demonstration and additional organisational pressures may result in a loss of focus around climate change and green initiatives. A lack of preparedness for the impacts of climate change may lead to Council Services no longer being sustainable or in a suitable position to operate in the future. The last 8 years have been the world's hottest and in the summer of 2022 there were 72,000 excess deaths in Europe due to the extreme heat. 2023 was the hottest year on record The UK is equally likely to see weather extremes going forward impacting on the economy and actions required by the Council e.g in times of severe flooding seriously draining the Council's resources. reviewed 12.9.24</li> </ul>
<b>Current control actions</b>	<p>These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence</p> <ul style="list-style-type: none"> <li>Environment and Sustainability Committee developed an action plan as part of the climate change strategy to move the Council towards net zero carbon emissions, aiming to get to Net Zero for Scope 1 and 2 emissions by 2030. 12.9.24</li> <li>Environment and Sustainability Committee will continue to explore ways to meet a carbon neutral target, and to promote climate change as an issue that needs to permeate all Council areas to ensure SBC reduce their carbon footprint and adapt to climate change.</li> <li>Surrey County Council have developed a strategy on Climate Change referred to as Greener Futures Delivery Plan which the Environment and Sustainability Committee have supported. Linked Spelthorne's Climate Change strategy where appropriate to Greener Futures Delivery Plan.</li> <li>Continuing to roll out Carbon Literacy training days and participating staff have committed to a range of carbon saving pledges. Member Induction training of June 2023 incorporated this area.</li> <li>Carbon Footprint section on Service Plans which provides an opportunity for departments to support the Council's commitment to reducing carbon emissions and explain how they intend to adapt elements of their service delivery to achieve this.</li> </ul>	
<b>Current mitigating actions</b>	<p>These are specific actions to reduce the <u>impact</u> of a risk event should it occur</p>	

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- Funding resources secured to support strategy implementation through the Green Initiative Fund. These are being allocated and targeted to reduce the carbon footprint of the Council to help ensure SBC are net zero by 2030 12.9.24

Future actions Type	Timeline	Description	Status	Comments
• Control	August 2024	Cllrs were given training to raise awareness and enhance understanding of Climate Change issues across the Council. Cllrs have recently agreed that encouragement needs to be given for Cllrs that have not completed the training to do so. Information given to Group Leaders (reviewed 12.9.24)	In Progress	Seeking to undertake Cllr training over two evenings
• Mitigation	December 2024 but will ongoing	Training is underway to raise awareness and enhance understanding of Climate Change issues across the Council (staff and Councillors).	In Progress	
• Control	2025	To build on Greener Futures climate adaptation strategy and incorporate actions into our climate change strategy.	In Progress	with current climate change officer leaving this is likely to be delayed

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	6 - Climate Change	
<b>Risk subject area</b>	Integration into decision making	
	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM
	<b>Corporate priorities</b>	Environment
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad
	<b>Lead officer</b>	Sandy Muirhead

### Risk description

- Where integration into wider Council decision-making is not evident this reduces the effectiveness of holistic approaches in delivering Spelthorne's strategy

### Current control actions

These are specific actions to reduce the likelihood of a risk event or occurrence

- All Committee reports include a section on Sustainability and Climate Change considerations which should be reflected upon by report authors to identify both positive and adverse impact of proposals being put forward by Officers requiring a Member decision.
- Through carbon literacy training of staff and the climate change and sustainability officers working with services across the Council, climate change is becoming embedded in service delivery.

### Current mitigating actions

These are specific actions to reduce the impact of a risk event should it occur

- Through Carbon literacy training in the organisation achieved bronze level and by autumn 2024 should have achieved silver.
- Through ongoing monitoring of climate change strategy and corporate plan actions can ensure climate change mitigation and adaptation is incorporated into day to day Council projects/activities.

### Future actions

Type	Timeline	Description	Status	Comments
Mitigation	December 2024	Mandatory Carbon literacy training programme underway across the Council	In Progress	

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	6 - Climate Change	
<b>Risk subject area</b>	Targets for Climate Change	
	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM
	<b>Corporate priorities</b>	Environment
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad
	<b>Lead officer</b>	Sandy Muirhead

### Risk description

- Inadequate mechanisms for monitoring and reporting on status provides limited insight regarding keeping on track in pursuing net zero carbon emissions and wider government reporting requirements.

### Current control actions

These are specific actions to reduce the likelihood of a risk event or occurrence

- A Climate Change Working group made up of a cross party group of elected Members to focus on monitoring of actions towards carbon neutrality and initial assessment of ideas.
- Officer updates to Members on the progress of the Climate Change Action Plan.
- Annual Reporting of Carbon Emissions to Surrey County Council
- Quarterly KPI reporting

### Current mitigating actions

These are specific actions to reduce the impact of a risk event should it occur

- Benchmarking and/or analysis of comparative energy savings achieved across Surrey Districts and boroughs
- Ensure delivery of corporate plan actions to assist in mitigating climate change and reducing the Council's carbon emissions using the corporate plan action tracker (12.9.24)

### Future actions

Type	Timeline	Description	Status	Comments
Control	March 2025	Environmental Social Governance (ESG) assessment underway to develop future strategies for reporting requirements on climate change	In Progress	

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	7 - Corporate Capacity, Resources , Recruitment and Retention		
<b>Risk subject area</b>	Corporate capacity		
	<b>Last review by</b>	l.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM	
	<b>Corporate priorities</b>	Resilience, Services	
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad	
	<b>Lead officer</b>	Sandy Muirhead	

### Risk description

- Overstretched capacity could lead to increased staff fatigue / burnout / sickness levels arising. This may impact further on employee stress levels and mental / physical wellbeing, which may also lead to reductions in expected service delivery and reduced morale especially with pressure to complete more tasks over and above planned work (12.9.24). .
- Overstretched staff may feel encouraged to leave to less demanding roles in other areas including the private sector
- Availability of external roles especially better paid roles. The Council struggles to keep up with increased pay in roles in the sector as a whole. 12.9.25

### Current control actions

These are specific actions to reduce the likelihood of a risk event or occurrence

- Management to address workload issues across teams, with continued prioritisation of tasks, but tasks are exceeding ability to deliver in certain areas especially in services where it is difficult to recruit staff 12.9.24
- Corporate performance management systems operating across various levels, intended to promote golden thread and support delivery of corporate priorities and objectives.
- Annual Service Planning should refer to capacity pressures being experienced/foreseen by Service Managers/Group Heads (under risks section), so that any remedial action can be proposed and discussed
- Collaborative Working Group to promote partnerships and alternative service models with a view to supporting organisational resilience measures 12.9.24

### Current mitigating actions

These are specific actions to reduce the impact of a risk event should it occur

- Various support systems operating in promoting and supporting staff wellbeing e.g Carefirst 12.9.24

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- Corporate performance management systems operate across services with a view to promoting the corporate plan and associated actions translated into tasks; but also to ensure staff are managing workloads and priorities. 12.9.24
- Management and HR monitoring of sickness absence levels related to stress or overstretched capacity provides corporate insight that could indicate any further remedial action required
- Participated in an LGA review of 2022 which raised findings regarding working culture though recent staff survey demonstrates staff feel very positive about their working environment internally but one area that showed red was in relation to Cllrs. (12.9.24)
- Corporate Establishment Review undertaken with some further actions identified/ pursued. This also overlaps with the other risks in this category relating to recruitment and retention

Future actions					
Type	Timeline	Description	Status	Comments	
• Control	Ongoing	Demand Management and developing approaches to measure and monitor demand levels across the Council but need to recognise that demand management is not always easy due to for example extra people presenting as homeless putting more demand on housing staff or extra Government requirements e.g productivity plans	Outstanding	All managers try to provide some balance in terms of staff workload but there often demand factors which arise from external sources and may be difficult to predict	

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	7 - Corporate Capacity, Resources , Recruitment and Retention				
<b>Risk subject area</b>	Recruitment and retention				
	<b>Last review by</b>	l.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM			
	<b>Corporate priorities</b>	Resilience, Services			
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad			
	<b>Lead officer</b>	Sandy Muirhead			
<b>Risk description</b>					
<ul style="list-style-type: none"> <li>Unsuccessful recruitment and ongoing unfilled vacancies in a challenging and competitive labour market leads to reduced availability of technical skills and relevant expertise is spread more thinly across Services. Staff shortages further exacerbate workload pressures across teams. The consequences of this risk are set out earlier under corporate capacity.</li> <li>Ineffective or inappropriate recruitment exacerbated by the skill shortages within the local government market could result in appointments that fail to effectively meet business need leading to reduced service quality and/or periods of ongoing vacancies.</li> </ul>					
<b>Current control actions</b>					
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence					
<ul style="list-style-type: none"> <li>Several measures have been underway for some time and previously reported. These relate to HR policies, financial enhancements for hard to fill posts, development and upskilling opportunities, schemes to support staff wellbeing, hybrid working patterns and flexible working arrangements to attract and incentivise staff to modern working practices, staff pay reviews, HR professional networking forums with a view to applying best practice learnt.</li> <li>Staff and member feedback including commissioning annual surveys to ascertain key concerns, issues and promote continuous improvement measures. Staff survey undertaken in 2024 had a very high participation rates and most scores were highly positive regarding working conditions but Cllr area scored low. (12.9.24)</li> </ul>					
<b>Current mitigating actions</b>					
These are specific actions to reduce the <u>impact</u> of a risk event should it occur					
<ul style="list-style-type: none"> <li>Where recruitment into posts is not possible appointed interims or agency staff to ensure continuity in the services and enable continued delivery of the service concerned.</li> </ul>					
<b>Future actions</b>					
Type	Timeline	Description	Status	Comments	



## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- |              |         |   |             |   |
|--------------|---------|---|-------------|---|
| • Mitigation | Ongoing | To continue to advertise in all service relevant journals to ensure maximise opportunities for those seeking roles to see them.   | In Progress |   |
| • Mitigation | Ongoing | Continue to explore new and innovative recruitment and retention strategies in a competitive market. This includes workplace flexibility  | In Progress |   |
| • Mitigation | Ongoing | Continue to draw optimal value from all relevant hubs of expertise including externally conducted research in continuing to facilitate and promote a holistic approach to responding to recruitment and retention challenges and future-proofing the Council's workforce. | In Progress | Recruitment team and officers are looking at al options for advertising roles but also including opportunities to appoint apprentices and train from within |

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	8 - Equality, Diversity and Inclusivity	
<b>Risk subject area</b>	Legislative requirements	
<div style="display: flex; align-items: center; justify-content: center;"> <div style="background-color: #0056b3; color: white; padding: 5px; margin-right: 10px;">&lt;6</div> <div style="background-color: #ff9900; color: black; font-size: 2em; padding: 20px; margin-right: 10px;">6</div> <div style="background-color: #0056b3; color: white; padding: 5px; margin-left: 10px;">6&gt;</div> </div>	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM
	<b>Corporate priorities</b>	Resilience, Environment, Services
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad
	<b>Lead officer</b>	Sandy Muirhead

### Risk description

- If there is a failure to effectively adhere to the Equality Act (2010), this could lead to workplace practices and delivery of services that fail to incorporate necessary principles, standards and requirements in promoting equal opportunities, diversity and inclusivity. This may increase risks of discriminatory practices and consequentially, the Council could be subject to complaints or even claims resulting in reputational damage.

### Current control actions

These are specific actions to reduce the likelihood of a risk event or occurrence

- Training mechanisms to raise awareness and understanding such as the online Workrite module. Seeking further training options for early 2025. (12.9.24)
- All Committee reports include a section on Equality, Diversity and Inclusivity considerations to ensure this area is embedded into Council decision making . It should be carefully reflected upon by report authors to identify any implications and whether there is any specific impact for proposals being put forward requiring a Member decision.

### Current mitigating actions

These are specific actions to reduce the impact of a risk event should it occur

- Equality Impact Assessments are completed as a requirement on initiation of new projects and strategies.

Future actions	Type	Timeline	Description	Status	Comments
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## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

• Control	March 2025	This action is subject to resource allocation. Assign a lead Officer to support production of an Equality, Diversity, and Inclusivity Strategy for the Council. This will provide a more robust structured approach in delivering and embedding essential, principles, standards, and requirements in promoting equal opportunities, diversity, and inclusivity. To develop further internal activities and strategy/policy development an officer has been assigned to undertake this task in human resources.	In Progress	Due to constrained resources a long lead time is required though a lead officer has been designated
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## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	8 - Equality, Diversity and Inclusivity				
<b>Risk subject area</b>	Coordinated approach				
	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM			
	<b>Corporate priorities</b>	Community, Addressing Housing Need, Resilience, Environment			
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad			
	<b>Lead officer</b>	Sandy Muirhead			
<b>Risk description</b>					
<ul style="list-style-type: none"> <li>If there is insufficient resource, skills or expertise to develop, promote and support implementation of E, D &amp; I standards, progress in driving change and positive impact through a structured and coordinated approach may be limited.</li> </ul>					
<b>Current control actions</b>					
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence					
<ul style="list-style-type: none"> <li>Communications and engagement with staff, Members and the public to recognize and celebrate diversity</li> <li>Champions (Staff reps) to explore further positive approaches relating to E, D &amp; I. Inclusivity Working Group meets regularly</li> <li>Corporate Values – (PROVIDE) are incorporated into the Council's equality and diversity objectives together with an internal equality and diversity policy.</li> <li>An Equality, Diversity and Inclusivity 'Statement of Intent' document has been reported.</li> <li>Internal and external websites have been updated with Equality and Diversity policy and statement published.</li> </ul>					
<b>Current mitigating actions</b>					
These are specific actions to reduce the <u>impact</u> of a risk event should it occur					
<ul style="list-style-type: none"> <li>Participated in Race Equality Week (Feb 2024) and promoted important messages to all staff</li> <li>Ensure "celebrate" key events for example PRIDE month and ensure raised at staff meetings (including relevant presentations on relevant subjects) and flag raised along with further communications.</li> <li>Section on EDI including reference to LGBT community included in induction seminar for new staff completed (12.9.24)</li> </ul>					
<b>Future actions</b>					
	Type	Timeline	Description	Status	Comments

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

• Control	January 2025	(This action is subject to resource allocation). Assign a lead Officer to support production of an Equality, Diversity, and Inclusivity Strategy for the Council. This will provide a more robust structured approach in delivering and embedding essential, principles, standards, and requirements in promoting equal opportunities, diversity, and inclusivity. Lead officer designated	In Progress	Resource availability is though still a limiting factor due to other service demands
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## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	9 - Working arrangements across LG tiers				
<b>Risk subject area</b>	Change Management				
	<b>Last review by</b>	l.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM			
	<b>Corporate priorities</b>	Community, Addressing Housing Need, Resilience, Environment, Services			
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad			
	<b>Lead officer</b>	Heather Morgan			
<b>Risk description</b>					
<ul style="list-style-type: none"> <li>If there is a lack of clarity or unified understanding around the wide-reaching implications of a County Deal this could make the task of planning, managing, communicating and implementing change challenging.</li> <li>Need to consider how to prioritise work on the County Deal/possible collaborative working opportunities alongside need to deliver efficiency savings for the MTFS to ensure the organisation is very clear on focusing on where most benefits can be obtained</li> </ul>					
<b>Current control actions</b>					
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence					
<ul style="list-style-type: none"> <li>Ensure the appropriate level of resource is put in place and time is freed up from other parts of the organisation involved in the change management process if no additional financial or staff resources are available (this will require decision on what else not to do/deliver in another way on a temporary basis/apply a risk based approach to work)</li> <li>Ensure there is capacity and appropriately skilled staff are available, or skills are developed, to work effectively where the strategy of engagement and collaborative working has been agreed - to ensure that we are equal partners on any joint service delivery</li> </ul>					
<b>Current mitigating actions</b>					
These are specific actions to reduce the <u>impact</u> of a risk event should it occur					
<ul style="list-style-type: none"> <li>To ensure that any decisions made on engagement/joint service delivery/moving services up to County meets our priorities they need to align with the Corporate Plan 2024 - 2028, our values and priorities</li> </ul>					
<b>Future actions</b>					
	Type	Timeline	Description	Status	Comments

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- |              |           |  |             |  |
|--------------|-----------|--|-------------|--|
| • Mitigation | July 2024 | Planning for potential change and ascertaining transitional and future arrangements for service delivery, decision making and strategic direction. | In Progress | work has been undertaken to look at a number of areas identified within the KPMG report from a few years ago which identified a number of opportunities for closer collaboration to deliver savings, joined up services, or greater resilience. These include parking services, building control, waste and recycling. Initial options analysis has been undertaken at officer level for consideration at the Collaborative Working Task Group |
| • Mitigation | July 2025 | Alternative options for service delivery for building control (due to severe resourcing and resilience issues)                                     | In Progress |  |
| • Mitigation | July 2025 | Surrey Leaders/Chief Executives currently in discussion over potential for county-wide collaborations on Procurement and Building Control.         | In Progress |  |

## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<b>Risk category</b>	9 - Working arrangements across LG tiers				
<b>Risk subject area</b>	Strategic decisions				
	<b>Last review by</b>	I.o'neil@spelthorne.gov.uk 9/19/2024 5:00:00 PM			
	<b>Corporate priorities</b>	Community, Addressing Housing Need, Resilience, Environment, Services			
	<b>Risk owner</b>	Admin Lee O'Neil Terry Collier Daniel Mouawad			
	<b>Lead officer</b>	Heather Morgan			
<b>Risk description</b>					
<ul style="list-style-type: none"> <li>The current governance structure at Surrey presents limited opportunities for Spelthorne to influence future shaping and direction within the wider Surrey landscape. This could lead to strategic decisions being made that may not be in the best interests of Spelthorne's residents and local communities. Surrey are not currently looking to change the governance structure (May 2024)</li> </ul>					
<b>Current control actions</b>					
These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence					
<ul style="list-style-type: none"> <li>16.08.24 - Growth Board now in place so unable to influence the governance structure by increasing Local Authority representation (currently one Leader and one Chief Executive) to sit at the decision making table, and ensure that our views are clearly understood by those represented and clearly relayed (via our Leader and Chief Executive). will be removed when CRR is next updated</li> <li>16.08.24 - Surrey Business Leadership Forum is now in place so unable to influence the governance and representation to ensure that our business voice is heard on future decision making around the economy (and the functions which Surrey have taken over from the Enterprise M3 Local Economic Partnership). Will be removed when CRR is next updated</li> <li>The Council needs to have a clear view on its priorities for collaboration (or not) so that business cases can be developed to help inform future service delivery and the resources which are required to deliver. This can then feed into the medium term financial strategy</li> <li>Ensure that there is early and wide engagement with all councillors in the autumn 2024 so there is a clear view from them in terms of 'red lines' - e.g. what the Council needs to deliver locally and we do not engage with Surrey on, where we can work to deliver improved outcomes for our communities</li> </ul>					
<b>Current mitigating actions</b>					
These are specific actions to reduce the <u>impact</u> of a risk event should it occur					
<ul style="list-style-type: none"> <li>Leader and Chief Executive to actively engage with adjoining authorities to fully understand common approaches to levels of engagement with Surrey, and opportunities for sharign resources</li> </ul>					
<b>Future actions</b>					
	Type	Timeline	Description	Status	Comments



## APPENDIX A Corporate Risk Register - Spelthorne Borough Council

• Mitigation	July 2024	Planning for potential change and ascertaining transitional and future arrangements for service delivery, decision making and strategic direction.	In Progress	Leader is in active discussion with Leaders at nearby Councils where there could be collaboration opportunities - this will set the strategic direction of travel (May 2024)
• Control	June 2024	Develop a terms of reference and set aside resources for a specific councillor/officer working group to work together to spearhead the Councils approach and response to the County Deal	In Progress	Collaborative Working Task Group is being refreshed (senior cllrs and officers). Officer leads working on individual areas are working with colleagues in other D&B's

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## Risk Scoring Matrix (Plotted March 2024 for current RAG rating and current risk score in consultation with Officers)

This is the matrix that forms part of the risk management policy. We currently assess the level of each risk category by plotting them on this matrix to provide a traffic light RAG rating. We also determine a numerical risk score by multiplying likelihood and impact scores. Please also refer to the next page for further detail on the approach and criteria applied.

When assessing the Council's risks in terms of likelihood and impact, we take into account the national and global picture for wider externalities such as the macroeconomic environment and geopolitical factors. Spelthorne's operations remain influenced by these external challenges and pressures, as is the case for other Councils. Due to these externalities, there are many activities that the Council cannot directly control/mitigate, or influence and continued recognition is important. **Red** risks require prompt, planned management action **Amber** risks require planned management action **Green** risks are accepted risks. RC = Risk category on the detailed register e.g., RC2 = Risk Category 2 – Economy. This is also referred to on the matrix for ease of reference.

Page 207

IMPACT	<b>4</b> (Catastrophic)				
	<b>3</b> (Major)			11	7
	<b>2</b> (Medium)			4	2
	<b>1</b> (Trivial)				
		<b>1</b> (Rare)	<b>2</b> (Unlikely)	<b>3</b> (Likely)	<b>4</b> (Almost certain)
		LIKELIHOOD			

The numbers in the risk matrix above represent the total number of risk items within that level of risk. Click on the number for details of which risks are affected.

### Category and Subject area

<input type="checkbox"/> <b>9 - Working arrangements across LG tiers</b>
77 Strategic decisions
76 Change Management
<input type="checkbox"/> <b>8 - Equality, Diversity and Inclusivity</b>
69 Coordinated approach
68 Legislative requirements
<input type="checkbox"/> <b>7 - Corporate Capacity, Resources , Recruitment and Retention</b>
67 Recruitment and retention
66 Corporate capacity
<input type="checkbox"/> <b>6 - Climate Change</b>
65 Targets for Climate Change
64 Integration into decision making
63 Responding and adapting to Climate Change
62 Climate Change threat and impact
<input type="checkbox"/> <b>5 - Treasury Management</b>
75 Borrowing
74 Return on Investments
<input type="checkbox"/> <b>4 - Financial Resilience and Supporting Communities</b>
61 Financial Pressures - Cost of Living Crisis and increased demand on Council Services
58 Restricted borrowing levels
53 Financial Pressures - increased costs
<input type="checkbox"/> <b>3 - Financial Resilience and Commercial Assets</b>
51 Commercial investment portfolio
<input type="checkbox"/> <b>2 - Economy</b>
50 Cost of doing Business crisis
49 Long Term uncertainty of macroeconomic environment
<input type="checkbox"/> <b>1b - Housing – Affordable</b>
78 Housing provision and addressing need

### How risks are scored:

We assess and score risks, with their current controls and current mitigations in place, for likelihood and impact as shown below:

Score	Impact	Likelihood (over 4 years or timescale deemed appropriate)
1	Trivial	Rare (once)
2	Medium	Unlikely (a few times / less than annual)
3	Major	Likely (several times / more than annual)
4	Catastrophic	Almost certain (many times a year)

Impact can be measured in many ways and will be specific to what you are assessing, but the most common are on objectives, finance, and reputation. We then plot the risk on the risk matrix model shown on the prior page to provide a RAG rating, to determine and prioritise the most significant risks for action. The risk action plan (refer to separate document) sets out how the authority is working towards further addressing and mitigating the risks.

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## Spelthorne Borough Council Services Committees Forward Plan and Key Decisions

This Forward Plan sets out the decisions which the Service Committees expect to take over the forthcoming months, and identifies those which are **Key Decisions**.

A **Key Decision** is a decision to be taken by the Service Committee, which is either likely to result in significant expenditure or savings or to have significant effects on those living or working in an area comprising two or more wards in the Borough.

Please direct any enquiries about this Plan to [CommitteeServices@spelthorne.gov.uk](mailto:CommitteeServices@spelthorne.gov.uk).

## Spelthorne Borough Council

### Service Committees Forward Plan and Key Decisions for 1 October 2024 to 31 January 2025

Anticipated earliest (or next) date of decision and decision maker	Matter for consideration	Key or non-Key Decision	Decision to be taken in Public or Private	Lead Officer
Corporate Policy and Resources Committee 15 10 2024	Change to Treasury Management Strategy – Proposed Draw Down of Pooled Funds	Non-Key Decision	Public	Prithiva Janaka, Treasury Management and Capital Accountant, Mahmud Rogers, Joint Financial Services Manager
Corporate Policy and Resources Committee 15 10 2024	Spelthorne Financial Services Partnership	Non-Key Decision	Public	Terry Collier, Deputy Chief Executive, Karen Limmer, Interim Monitoring Officer
Corporate Policy and Resources Committee 15 10 2024	2023-24 Reserves Outturn Report	Non-Key Decision	Public	Paul Taylor, Chief Accountant
Corporate Policy and Resources Committee 15 10 2024	Reflections Water Feature	Key Decision	Public	Jackie Taylor, Group Head - Neighbourhood Services
Corporate Policy and Resources Committee 15 10 2024	Procurement of a New Website	Key Decision	Public	Jennifer Medcraff, Head of Communications and Customer Experience
Corporate Policy and Resources Committee 15 10 2024	Corporate Risk Management	Non-Key Decision	Public	Lee O'Neil, Deputy Chief Executive

Date of decision and decision maker	Matter for consideration	Key or non-Key Decision	Decision to be taken in Public or Private	Lead Officer
Community Wellbeing and Housing Committee 24 09 2024  Corporate Policy and Resources Committee 15 10 2024	Safeguarding Children and Adults at Risk Policy 2024-2028	Non-Key Decision	Public	Lisa Stonehouse, Community Development Manager
Corporate Policy and Resources Committee 15 10 2024	Key Performance Indicators 2023/24	Key Decision	Public	Sandy Muirhead, Group Head - Commissioning and Transformation
Corporate Policy and Resources Committee 09 12 2024	Fees & Charges	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Corporate Policy and Resources Committee 09 12 2024	Action Tracker Update	Non-Key Decision	Public	Lee O'Neil, Deputy Chief Executive
Corporate Policy and Resources Committee 09 12 2024  Audit Committee 28 01 2025	2023-24 Audited Accounts for KGE	Key Decision	Public	Paul Taylor, Chief Accountant
Corporate Policy and Resources Committee 09 12 2024	Leisure Centre Rate Relief Application	Key Decision	Public	Sandy Muirhead, Group Head - Commissioning and Transformation

Date of decision and decision maker	Matter for consideration	Key or non-Key Decision	Decision to be taken in Public or Private	Lead Officer
Corporate Policy and Resources Committee 09 12 2024	Growth Bids, Capital Bids & Savings Plan	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Corporate Policy and Resources Committee 09 12 2024	Appointment of Charity Trustees - Staines Parochial Charity	Non-Key Decision	Public	Karen Wyeth, Democratic Services Manager
Corporate Policy and Resources Committee 09 12 2024	Appointment of Charity Trustees - Laleham Charities - Hodgson & Reeve	Non-Key Decision	Public	Karen Wyeth, Democratic Services Manager
Corporate Policy and Resources Committee 09 12 2024	Reserves Strategy	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Corporate Policy and Resources Committee 09 12 2024	Houses in Multiple Occupation	Key Decision	Public	Esme Spinks, Planning Development Manager
Council 12 12 2024	Determination of 2025/26 Council Tax Base for Tax Setting	Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Council 12 12 2024	Calendar of Meetings 2025 - 2026	Non-Key Decision	Public	Matthew Williams, Democratic Services Officer



Date of decision and decision maker	Matter for consideration	Key or non-Key Decision	Decision to be taken in Public or Private	Lead Officer
Corporate Policy and Resources Committee 09 12 2024	Budget Report	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Corporate Policy and Resources Committee 20 01 2025	Interest Income	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Corporate Policy and Resources Committee 20 01 2025	Investments, Regeneration & Municipal Portfolios	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Corporate Policy and Resources Committee 20 01 2025	Discretionary Rate Relief Policy	Key Decision It is significant in terms of its effect on communities living or working in an area comprising two or more wards	Public	
Corporate Policy and Resources Committee 20 01 2025	Government Funding	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Corporate Policy and Resources Committee 20 01 2025	Movement on Reserves (Including Sinking Fund)	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Corporate Policy and Resources Committee 20 01 2025	Houses of Multiple Occupancy Update	Key Decision	Public	Esme Spinks, Planning Development Manager, Tracey Willmott-French, Senior Environmental Health Manager

Date of decision and decision maker	Matter for consideration	Key or non-Key Decision	Decision to be taken in Public or Private	Lead Officer
Corporate Policy and Resources Committee 10 02 2025	MTFP	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Corporate Policy and Resources Committee 10 02 2025	Capital Programme	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Corporate Policy and Resources Committee 10 02 2025	Detailed Budget TMS	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Community Wellbeing and Housing Committee 02 12 2024	Growth Bids, Capital Bids & Savings Plan	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Community Wellbeing and Housing Committee 02 12 2024	Budget Report	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Community Wellbeing and Housing Committee 02 12 2024	Fees & Charges	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Environment and Sustainability Committee 03 12 2024	Growth Bids, Capital Bids & Savings Plan	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager

Date of decision and decision maker	Matter for consideration	Key or non-Key Decision	Decision to be taken in Public or Private	Lead Officer
Environment and Sustainability Committee 03 12 2024	Budget Report	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager
Environment and Sustainability Committee 03 12 2024	Fees & Charges	Non-Key Decision	Public	Mahmud Rogers, Joint Financial Services Manager

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## **Briefing note on urgent decision to allocate additional Local Plan and Design Code resources**

### **Summary**

For the Committee to formally note the Urgent Decision made on 11 September 2024 to allocate an additional resource of £114k to ensure work can continue to run in parallel on the Local Plan and the Design Code. In particular, we needed to ensure that we retained the confidence of the Local Plan Inspector so that we can get back to Examination in a timely manner.

This decision was made by the Chief Executive in consultation with the Leader and Deputy Leader of the Council as per the Constitution (i.e. it was a decision which was so urgent that it could not wait until the next scheduled meeting of the Council or relevant Committee as we needed to get in staff resources immediately). An Urgent Action report was submitted with the request.

In light of the urgent need to ensure that both the Local Plan and Design Code work continue to run in parallel, and in particular to ensure that we retain the confidence of the Local Plan Inspector that we can get back to Examination in a timely manner, this decision could not wait until the next CPR Committee on 15 October

### **Background**

We are hopeful that once the outstanding points regarding flooding from the EA have been addressed that the Council will be in a position to move back to Examination (all subject to the approval of the Local Plan Inspector). This will take the resource of the whole Strategic Planning team to deliver.

If no additional resources had been found, the work on the Design Code would have been put on pause from early September until after the end of the Examination (hopefully Spring 2025). This would have represented a seven-month delay, adding to the two-month delay that was agreed by the Design Code Project Board on 12 August. The end date for delivery would therefore have slipped from March to May 2025 (or June if there no extraordinary E&S committee is put in place to agree the final document).

The Design Code is a key document to ensure we can deliver high quality development across the borough. Councillors are rightly placing a high importance on this to guide developers.

### **Options appraisal**

Two options were put forward in the urgent action report.

Option 1 would have ensured sufficient resources were allocated to enable the Local Plan to get back to Examination in Spring 2025 and for the Design Code to continue at its current pace (with the already agreed 2-month delay) at a cost of £114k.

Option 2 would have allowed the Local Plan Examination to continue at its current pace, but would have paused the Design Code work until end of January 2025 when we would have re-started the wide community engagement and the appointment of

the Citizens Panel. This would have resulted in a 4-month delay. The end date for delivery would therefore have slipped from May to September 2025. This would have allowed the consultation and appointment of the Citizens Panel to run in parallel with the hoed for return to Examination, with the draft Design Code following afterwards.

**Option 1 was agreed** under the Urgent Action on the basis that it was critical for the borough to move forwards with the Local Plan (subject to the agreement of the Local Plan Inspector), protect our borough from predatory development, and deliver a Design Code to ensure that development coming forward in the future is of a high quality.

### **Resourcing**

No money was available in the Local Plan 2024/25 revenue budget to cover the additional staffing costs. Nor were there savings from the wider Place, Protection and Prosperity budgets to help offset the additional resource requirement.

An in-year growth bid was therefore required to secure the additional resourcing to deliver these two critical pieces of work to safely secure the future of the borough.

The Council has a Green Belt Fighting Fund Reserve. It was accepted that there was a robust justification for using this reserve to secure the additional resource:

1. Delivering a Local Plan now will provide greater protection for our green belt. If the Inspector directs that we withdraw the plan and start afresh we will have to start the plan with a 20% higher housing requirement and will need to review green and grey belt. We would also have a duty to cooperate with neighbouring Councils to assist heir housing delivery if they cannot do so themselves, which is a considerable risk (Elmbridge numbers have gone up over 100%)
2. The Design Code needs to look to the future and should not just focus on our towns and traditional suburban areas. It also needs to set out clear expectations for any schemes which may come forward in the green belt. This is particularly important as they may be separate from other established areas, or they may need to sit alongside them. How they are treated in design terms will be critical.

The Reserve sits at £900k, with £190k already allocated or due to be before year end (design code work, public inquiries and hearings). Assuming these are required, the balance in the reserve at year end would be £710k. Using an additional £114k, would drop the balance to £596k

**Report Author:** Heather Morgan, Group Head Place, Protection and Prosperity

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