



Please reply to:

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Date: 9 April 2026

Notice of meeting

Corporate Policy and Resources Committee

Date: Monday, 20 April 2026

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.M. Attewell

J.R. Boughtflower

M. Buck

J. Button

D.C. Clarke

S.M. Doran

M. Gibson

M.J. Lee

S.C. Mooney

L. E. Nichols

J.A. Turner

H.R.D. Williams

Substitute Members: Councillors M. Bing Dong, S.N. Beatty, H.S. Boparai, R.V. Geach, K. Howkins, S.A. Dunn 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 - 26

To confirm the minutes of the extraordinary meeting held on 3 February 2026, the meeting held on 17 February 2026 and the carry-over meeting held 23 February 2026 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.

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. Improvement and Recovery Plan Progress Update

To Follow

Report to follow.

6. Adoption of a Commercial Strategy for Spelthorne Borough Council

27 - 74

Committee is asked to approve the adoption of this Commercial Strategy covering all Council commercial activity.

7. The Spelthorne Borough Council Off-Street Parking Places (Amendment No.3) Order 2026

75 - 90

The Committee is asked to identify and recommend to Council the selected proposed variations to The Spelthorne Borough Council Off-Street Parking Places (Amendment No. 3) Order 2026.

8. Amendments to the Corporate Debt Policy and Financial Regulations

91 - 192

The Committee is asked to:

1. Approve the amendments to the Corporate Debt Policy required following the Southern Internal Audit Partnership audit conducted in October 2025;

2. Approve the proposed amendments to the Financial Regulations as detailed in Appendix A; and
3. Subject to the comments from the Committee System Working Group to recommend to Council to adopt the revised Financial Regulations and for the Constitution to be amended accordingly.

9. Write-off report - Temporary Accommodation 193 - 204

Committee is asked to approve the Sundry Debt write-off of £50,695 which relates to irrecoverable debt relating to eight Bed and Breakfast temporary accommodation cases and one emergency accommodation case.

10. Corporate Key Performance Indicator Report - Quarter 3 2025/26 205 - 242

Committee is asked to consider the Corporate Key Performance Indicators data for Quarter 3 2025/26.

11. Equality Diversity and Inclusion Strategy 243 - 252

Committee is asked to approve the Equality Diversity and Inclusion Strategy.

12. Solar Canopy Project Closure Report 253 - 262

Committee is asked to agree to formally end the Solar Canopy project.

13. Forward Plan 263 - 268

To consider the Forward Plan for committee business.

14. Urgent Actions

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 17 March 2026.

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**Minutes of the Corporate Policy and Resources Committee
3 February 2026**

Present:

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

Councillors:

M.M. Attewell	S.M. Doran	L. E. Nichols
M. Buck	M. Gibson	J.A. Turner
J. Button	M.J. Lee	H.R.D. Williams
D.C. Clarke	S.C. Mooney	

12/25 Apologies and Substitutes

Apologies were received from Councillor Boughtflower.

Councillor Howkins attended the meeting as Councillor Boughtflower's substitute.

13/25 Disclosures of Interest

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

Councillor Nichols declared that he was a director on the Knowle Green Estates Board.

14/25 Corporate Policy & Resources Committee - Budget, Fees and Charges and Capital Programme for 26/27

The Committee considered a report that sought Committee to:

1. Review the draft detailed revenue budget for 2026/27 for the Corporate Policy and Resources Committee and agree any amendments,
2. Review the draft detailed Capital Programme budget for 2026/27 for the Corporate Policy and Resources Committee; and
3. To incorporate into the final Budget proposals to come to this Committee on 17 February 2026 the proposed detailed Revenue Budget and Capital Programme proposals.

The Committee explored how various figures were calculated and how the budget was allocated.

Councillor Howkins requested a recorded vote.

For	Councillors Sexton, Bateson, Attewell, Buck, Button, Clarke, S Doran, Gibson, Lee, Mooney, Nichols, Turner and Williams – 13 votes
Against	0 votes
Abstain	Councillor Howkins – 1 vote

The Committee **resolved** to:

1. Review the draft detailed revenue budget for 2026/27 for this Committee,
2. Review the draft Capital Programme Budget for the Corporate Policy & Resources Committee; and
1. Incorporate into the final budget proposals to come to the Committee on 17 February the proposed detailed revenue budget and Capital Programme proposals.

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

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**Minutes of the Corporate Policy and Resources Committee
17 & 23 February 2026**

Present:

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

Councillors:

M.M. Attewell	D.C. Clarke	S.C. Mooney
J.R. Boughtflower	S.M. Doran	L. E. Nichols
M. Buck	M. Gibson	J.A. Turner
J. Button	M.J. Lee	H.R.D. Williams

Substitutions: Councillors K. Howkins

15/26 Apologies and Substitutes

17 February 2026

Apologies were received from Councillor Boughtflower. Councillor Howkins was present as Councillor Boughtflower's substitute.

23 February 2026

Apologies were received from Councillors Attewell and Mooney. Councillor Howkins was present as Councillor Mooney's substitute and Councillor Saliagopoulos was present as Councillor Attewell's substitute.

16/26 Minutes

The minutes of the meeting held on 19 January 2026 were agreed as a correct record.

17/26 Disclosures of Interest

17 February 2026

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

Councillor Nichols advised that he was on the Board of Directors for Knowle Green Estates.

23 February 2026

Councillor Sexton advised that she was also a Surrey County Councillor.

Councillor Nichols advised that he was on the Board of Directors for Knowle Green Estates.

18/26 Questions from members of the Public

There were none.

19/26 Updated Improvement and Recovery Plan

The Committee considered a report that sought approval of the revised Improvement and Recovery Plan (IRP) presented by Ruth Adams, Interim Programme Director.

Concerns were raised by the Committee concerning the lack of Key Performance Indicators and target dates on the plan as this would not make monitoring of progress problematic. Ruth advised that objectives and target dates would be added to the report to address these concerns. The Committee requested that social value be included in the IRP following the adoption of the Social Value Strategy by Council on 29 January 2026.

Councillor Williams asked that it be noted in the minutes that he did not agree with the Updated Improvement and Recovery Plan.

The Committee **resolved** to approve the revised Draft Improvement and Recovery Plan subject to it being amended to reflect the areas that the Committee asked to be addressed.

20/26 Q2 Corporate KPI Results

The Committee **resolved** to agree that they had been informed and assured with regard to the Corporate Key Performance Indicators data for Quarter 2 2025/26.

21/26 Pay Award 2026/27 and Pay Award 2025/26 (back dated award)

The Committee **resolved** to make a recommendation to Council to approve a pay award for 2026/27 and a backdated pay award for 2025/26 as follows:

1. 2026/27 – a consolidated pay award of 4% on all spinal points and personal salaries (across the board increase); and
2. 2025/26 – a consolidated backdated pay award of 0.2% in recognition of the difference between the National Pay Award and Spelthorne Council's pay award of the previous two year period. Payment to be backdated to 01 April 2025.

22/26 Pay Policy 2026/27

The Committee **resolved** to make a recommendation to Council to approve the Pay Policy Statement.

23/26 Q3 Revenue Monitoring Report

The Committee considered the Q3 Revenue Monitoring Report.

During the discussions the Committee asked that evidence be provided about the Commissioners' value for money. The Committee were advised that a written response would be given.

The Committee **resolved** to acknowledge the forecast Revenue Outturn that reflected the latest forecast of budget holders.

24/26 Q3 Capital Monitoring Report

The Committee **resolved** to approve the quarter 3 2025/226 Capital Programme Budget Monitoring Report for 2026/27 for the Council, showing a £0.238m overspend to be covered by earmarked reserves.

25/26 Draft Detailed Revenue Budget and Medium Term Financial Strategy

The Committee considered a report that asked for Recommendations 1 and 2 to be noted and a recommendation to be made to Council to approve 3.1 to 3.6.

During the debate the Committee asked that the report be amended before being presented to Council. Officers were asked to standardise the references to the Council reserves to make it clearer to members.

The Committee asked how much of the Better Neighbourhood Grant fund remained unspent and were advised that members would be advised in writing.

The Chair split the recommendations into 2 separate parts for the Committee to vote on.

Councillor Clarke requested a recorded vote on both parts of the recommendations.

Part 1:

Does the Committee agree that it has considered the Statutory Section 25 and Section 26 Report of the Chief Finance Officer (Section 151 Officer) in Appendix J in determining:

- A) The proposed budget for 2026/27,
- B) The medium-term financial plans for 2026/27 to 2028/29 and
- C) The robustness of estimates and reserves projections

And

Does the Committee note the level of earmarked reserves as at 31 March 2026 is £32.2m and available earmarked reserves forecast to be available are £27.1m as set out in Appendix F

For	Councillors Sexton, Bateson, Button, Gibson, Nichols, Turner, Williams – 7 votes
Against	Councillors Attewell, Buck, Clarke, Howkins, Lee, Mooney – 6 votes
Abstain	Councillor S Doran – 1 vote

Part 2:

Does the Committee agree to make a recommendation to Council that it approves the following:

1. The General Fund Revenue Budget for 2026/27 including:
 - a) The General Fund Budget Requirement of £19.318m for 2026/27
 - b) Growth and pressures of £1.252m for 2026/27
 - c) Proposed savings of £5.752m for 2026/27

2. An increase in the Council’s element of the Council Tax for a band D property by £6.64 per annum for 2026/27 (2.90%), giving a Band D Council Tax of £235.50 per year, excluding the precepts from Surrey County Council and the Surrey Police and Crime Commissioner.

3. Notes the following Council Tax increases and precepts as detailed in Appendix I:
 - a) Surrey County Council had increased Council Tax for a Band D property to £1,938.42 per annum, a 4.99% increase on 2025/26, resulting in a precept of £80,014,295.

 - b) The Police and Crime Commissioner for Surrey had increased Council Tax for a Band D property to £352.57 per annum, a £15 or 4.4% increase on 2025/26, resulting in a precept of £14,553.420.

- c) This resulted in an overall Band D Council Tax of £2,526.49 for Spelthorne residents, an increase of £113.71 (4.5%) per annum.
 - d) The Spelthorne Borough Council element of the Council Tax was 9.3% of the total bill for Spelthorne residents
4. The calculations for determining the Council Tax requirement for the year 2026/27 in accordance with the Local Government Finance Act 1992 as set out in the Council Tax Resolution in Appendix I,
 5. The Fees and Charges for 2026/27 as set out in Appendix H; and
 6. The continuation of the complete disregard of war pension/armed forces pension income from benefit calculations as set out in paragraph 2.22 of this report.

For	Councillors Sexton, Bateson, Button, S Doran, Gibson, Nichols, Turner, Williams – 8 votes
Against	Councillors Clarke, Howkins – 2 votes
Abstain	Councillors Attewell, Buck, Lee, Mooney – 4 votes

The Committee **resolved** to:

Agree that it had considered the Statutory Section 25 and Section 26 Report of the Chief Finance Officer (Section 151 Officer) in Appendix J in determining:

- A) The proposed budget for 2026/27,
- B) The medium-term financial plans for 2026/27 to 2028/29 and
- C) The robustness of estimates and reserves projections; and

noted the level of earmarked reserves as at 31 March 2026 was £32.2m and available earmarked reserves forecast to be available were £27.1m as set out in Appendix F,

2. make a recommendation to Council to approve the following:

1. the General Fund Revenue Budget for 2026/27 including:

- i) The General Fund Budget Requirement of £19.318m for 2026/27,
- ii) Growth and pressures of £1.252m for 2026/27
- iii) Proposed savings of £5.752m for 2026/27

2. An increase in the Council's element of the Council Tax for a band D property by £6.64 per annum for 2026/27 (2.90%), giving a band D Council Tax of £235.50 per year, excluding the precepts from Surrey County Council and the Surrey Police and Crime Commissioner.

3. Note the following Council Tax increases and precepts as detailed in Appendix I:

- a) Surrey County Council had increased Council Tax for a Band D property to £1,938.42 per annum, a 4.99% increase on 2025/26, resulting in a precept of £80,014,295.
 - b) The Police and Crime Commissioner for Surrey had increased Council Tax for a Band D property to £352.57 per annum, a £15 or 4.4% increase on 2025/26, resulting in a precept of £14,553.420.
 - c) This resulted in an overall Band D Council Tax of £2,526.49 for Spelthorne residents, an increase of £113.71 (4.5%) per annum.
 - d) The Spelthorne Borough Council element of the Council Tax was 9.3% of the total bill for Spelthorne residents
4. The calculations for determining the Council Tax requirement for the year 2026/27 in accordance with the Local Government Finance Act 1992 as set out in the Council Tax Resolution in Appendix I,
 5. The Fees and Charges for 2026/27 as set out in Appendix H; and
 6. The continuation of the complete disregard of war pension/armed forces pension income from benefit calculations as set out in paragraph 2.22 of this report

It was proposed by Councillor Bateson and seconded by Councillor Gibson and **resolved** by Committee to suspend Standing Order 38.2 to allow the meeting to go beyond three hours.

26/26 Capital Strategy and Capital Programme 2026-2027

The Committee discussed the Capital Strategy and Capital Programme 2026/27.

The Committee **resolved** to make a recommendation to Council to consider and approve the proposed Capital Strategy and Capital Programme for 2026/27 to 2029 as set out in the report.

27/26 Treasury Management Strategy 2026/27

This item was considered at the carry-over meeting held Monday 23 February

The Committee considered a report, from the Interim Treasury Management Accountant that sought a recommendation to be made to Council.

During the debate the Committee asked that a model be produce that would have how the strategy

The Committee **resolved** to make a recommendation to Council to approve the Treasury Management Strategy for 2026/27 including:

1. The Annual Investment Strategy for 2026/27,
2. The Minimum Revenue Provision Policy Statement for 2026/27; and
3. The Prudential Indicators for 2026/27.

28/26 Forward Plan

This item was considered at the carry-over meeting held Monday 23 February

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

29/26 Exclusion of Public & Press (Exempt Business)

Meeting held 17 February 2026

Proposed by Councillor Bateson
Seconded by Councillor Button

The Committee **resolved** to exclude the public and press for the discussion of the item No. 18, in view of the likely disclosure of exempt information within the meaning of Part 3 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.

Meeting held 23 February 2026

Proposed by Councillor Bateson
Seconded by Councillor Gibson

The Committee **resolved** to exclude the public and press for the discussion of the item No. 18, in view of the likely disclosure of exempt information within the meaning of Part 3 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.

30/26 Urgent Actions

This item was considered at the carry-over meeting held Monday 23 February

The Committee were advised that a recruitment exercise had been undertaken to appoint an Interim Deputy Chief Finance Officer.

The Committee **resolved** to note the urgent action that had been taken since the last meeting of the Committee

31/26 Affordable Housing Delivery with Commuted Sum

This item was considered at the carry-over meeting held Monday 23 February

The Committee **resolved** to:

1. Approve Option 1, as outlined in the report; and
2. Authorise the Strategic Housing Lead, in consultation with the Section 151 Officer and the Group Head of Community Wellbeing and Housing, to negotiate acquisitions based on Option 1, with reference to best value principles.

32/26 Disposal of A Commercial Office Asset

This item was considered at the meeting held Tuesday 17 February

The Committee **resolved** to:

1. Agree in principle the offer and the proposed disposal,
2. Make a recommendation to Council to:
 - a) Approve the proposed disposal on the terms set out in this report,
 - b) Delegate authority to the Chief Finance Officer and Group Head of Assets, in consultation with the Chair and Vice-Chair of the Corporate Policy and Resources Committee and the chair and Vice-Chair of the Commercial Assets Sub-Committee, to agree minor variations to the Heads of Terms and the sale price within a tolerance of 10% of the agreed price; and
 - c) Delegate authority to the Group Head of Corporate Governance to enter into a transfer to complete the disposal and any ancillary legal documentation required in relation to the proposed disposal.

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Committee Report Checklist

Please submit the completed checklists with your report. If final draft report does not include all the information/sign offs required, your item will be delayed until the next meeting cycle.

Stage 1

Report checklist – responsibility of report owner

ITEM	Yes / No	Date
Councillor engagement / input from Chair prior to briefing	Yes	March 26
Commissioner engagement (if report focused on issues of concern to Commissioners such as Finance, Assets etc)	Yes	March 26
Relevant Group Head review	N/A	
MAT+ review (to have been circulated at least 5 working days before Stage 2)	Y	19/3/26
This item is on the Forward Plan for the relevant committee	Y	
	Reviewed by	
Risk comments	CH/TC	25/03/26
Legal comments	LH	23/03/26
HR comments (if applicable)	n/a	

For reports with material financial or legal implications the author should engage with the respective teams at the outset and receive input to their reports prior to asking for MO or s151 comments.

Do not forward to stage 2 unless all the above have been completed.

Stage 2

Report checklist – responsibility of report owner

ITEM	Completed by	Date
Monitoring Officer commentary – at least 5 working days before MAT	L Heron	23/03/26
S151 Officer commentary – at least 5 working days before MAT	T. Collier	20/3/26
Commissioner engagement	Delete as applicable:	Comments in S.7
Confirm final report cleared by MAT		31/3/26

Corporate Policy & Resources Committee

20th April 2026

Title	Adoption of a Commercial Strategy for Spelthorne Borough Council
Purpose of the report	To make a recommendation
Report Author	Coralie Holman – Group Head Assets
Ward(s) Affected	All Wards
Exempt	No
Exemption Reason	n/a
Corporate Priority	Community, Addressing housing need, Resilience, Environment, Services
Recommendations	<p>Committee is asked to:</p> <ol style="list-style-type: none"> 1. Approve the adoption of this Commercial Strategy covering all Council commercial activity
Reason for Recommendation	The Council undertakes a wide range of commercial activity, and it is a requirement of good governance to ensure there is a corporate framework setting out how commercial activity should be approached and assessed to comply with best practice and ensure value for money is achieved.

1. Executive summary of the report

What is the situation	Why we want to do something
<ul style="list-style-type: none"> • The Council is under statutory intervention and must deliver an Improvement and Recovery Plan, which includes creating a Commercial Strategy. • A draft Commercial Strategy has now been developed with input from Members, Officers, Commissioners, and a specialist consultant 	<ul style="list-style-type: none"> • The Commercial Strategy provides a clear, disciplined framework to strengthen financial resilience, embed commercial thinking across all services, and ensure Spelthorne Borough Council is fully prepared for transition to the new unitary authority in 2027. <p>1.1 The strategy consolidates commercial, procurement and governance expectations into a single approach focused on value for money, good governance compliance and public benefit.</p>

This is what we want to do about it	These are the next steps
<ul style="list-style-type: none"> To introduce a consistent, commercial mindset across the Council, ensuring all decisions are transparent, affordable, well-governed and aligned with Corporate Plan priorities and financial sustainability. 	<ul style="list-style-type: none"> The principles contained within the Strategy will be applied to all new Council commercial activities.

2. Key issues

- 2.1 The Council have adopted the Improvement and Recovery Plan (IRP) in a response to the statutory directions issued under Part 1 of the Local Government Act 1999. The IRP focuses on the Council's commitment to achieve long-term financial stability.
- 2.2 Any activity where the Council purchases, procures or undertakes work in relation to goods and services typically falls within the definition of commercial activity. Hence every area of the Council will in some manner undertake commercial activity. There is currently no corporate approach or lead officer setting out how commercial activity should be approached and in turn what 'good' or 'bad' commercial activity looks like.
- 2.3 One of the actions within the Commercial, Regeneration and Housing theme within the IRP is the introduction of a commercial strategy, both to provide a corporate framework during this Council's last months of sovereignty, but also in preparation and readiness for the new West Surrey Council. The intention of the strategy is a high-level framework of best practice principles, which is both flexible and suitable for a broad range of emerging council commercial activity.
- 2.4 The strategy is not intended to provide a detailed set of commercial activity requirements which must be applied in granular detail. It is also envisaged the new framework will apply to new commercial activity. It is not intended to re-visit existing commercial agreements in advance of contract end dates.
- 2.5 The Corporate Plan sets out goals across community wellbeing, housing, resilience, the environment and service improvement and each of these relies on sound financial stewardship and the careful management of resources together with interaction with commercial providers of goods and services.
- 2.6 Being commercial for the Council means balancing financial purpose with public value. This is a change of mindset, from where this Council may have considered its main commercial activity being owners of a commercial asset portfolio.
- 2.7 To provide a framework setting out how the Council should undertake commercial activity is key for uniformity in terms of approach and setting required outcomes. This is what this strategy aims to embed and explain to the wide range of council activities that do constitute commercial activity.
- 2.8 There are currently inconsistent commercial practices across services. Commercial approaches including procurement, contract management, decision-making, vary widely. This inconsistency leads to inefficiencies, non-compliance, and uneven performance.

- 2.9 Not all contracts are actively managed. This creates issues including unclear ownership, weak KPI monitoring, inconsistent performance reviews, limited documentation and audit evidence.
- 2.10 It is vital to ensure that the Council is taking a consistent approach when making all commercial decisions, whether related to procurement, contracts, assets or expenditure. The Council needs to ensure that these commercial decisions are taken in a disciplined, transparent and well assured manner.
- 2.11 Many services lack full lifecycle cost visibility across overheads, staffing, maintenance, and long-term commitments. This can lead to poor business cases, unintended costs, inaccurate financial planning.
- 2.12 As the strategy impacts both Officers and Members, it was important to develop a strategy that reflects good commercial practice, bench marked against neighbouring authorities, but also that it reflects the needs of this Council. Hence a workshop was held in February, where all Committee Chairs and Vice Chairs were invited to attend together with senior council officers and the Commissioner team.
- 2.13 The workshop was facilitated by part of the Chartered Institute of Public Finance and Accountancy (CIPFA), utilising experienced consultants with whom we could share ideas and thoughts. The Spelthorne requirements have then been incorporated within a strategy document that sets out the key principles of commercial activity which are considered essential for ensuring that Spelthorne Borough Council operates efficiently, sustainably, and in a way that delivers clear value for money across all services.
- 2.14 The strategy sets out how anyone within the Council connected to operational activity and decision making should apply using a disciplined, evidence-based way of thinking and working to ensure we uphold a high standard of corporate governance, how we are spending money and measuring the successful delivery and receipt of service provision.
- 2.15 The coming years will continue to be financially challenging. Internal and external pressures make it essential that we maximise income, reduce costs and manage financial risks in a well-informed way. It is important to recognise that commercial activity is a responsibility shared by everyone across the Council, from the choices and decisions we make in how we spend money, to the scrutiny we give to those spending decisions.
- 2.16 Many of the factors laid out in the Corporate Plan, Improvement & Recovery Plan, (IRP) and Medium-Term Financial Strategy (MTFS) are directly relevant to the successful delivery of this strategy. It underpins the creation of a modern council with aligned structures, systems, processes, and cultural practices.
- 2.17 The core principles within the strategy explain how we should make decisions, spend money responsibly, and work with others. They set the standard for how commercial and procurement activity will be approached and delivered and the strategy has been very much delivered to ensure it aligns with the Council's new procurement requirements and emerging contract management practices.

3. Options appraisal and proposal

- 3.1 Option 1 – Agree adoption and implementation of the proposed Commercial Strategy.

This is the recommended option as it gives the Council a focused, transparent and high-performing commercial environment that protects public money, strengthens services, supports residents, and ensures the organisation hands over a stable and well-governed commercial framework to the new authority.

3.2 Option 2 – Do not adopt the Commercial Strategy.

This is not the recommended option as it will not give the Council a clear, consistent, commercial strategy and potentially result in higher costs and inefficient decision making when analysing commercial opportunities between Service Areas in the Council.

3.3 Option 3 - Further consider the content of the strategy and seek amendments to provide a more detailed set of commercial activity requirements.

This option is not recommended, on the basis the intention of the strategy is a high-level framework of best practice principles, that has been prepared to ensure it is flexible and suitable for emerging council commercial activity during the last 12 months of Spelthorne Borough Council's tenure and transition to being a part of the new West Surrey Council.

4. Risk implications

4.1 Commercial activity can take many forms. Work involving procurement and contract management of goods and services must comply with statutory requirements in some areas, however, carries relatively low risk. Whereas commercial activity not typically associated with District and Borough Council activities, may require specialist expertise, which is often not available within existing internal resource, hence specialist consultant services may need to be 'bought' in to ensure outcomes are successfully achieved.

4.2 Traditional council cultures are often risk-averse, which can conflict with the agile, "fail-fast" mindset (a strategy that focuses on quickly testing and refining ideas to gain insights from mistakes rather than dedicating excessive time to perfecting them before launching new initiatives) sometimes required for commercial success. Commercial activities may also distract focus from core statutory services and operational oversight.

4.3 A key element within the draft Corporate Strategy is the risk mitigation element within the detailed framework, including a risk analysis framework and a focus on defining and understanding risks involved in proposed commercial decisions.

4.4 As the Strategy states, by embedding consistent, evidence based and value for money thinking across all services and by upholding strong governance, compliance and accountability, we will strengthen financial resilience and reduce risk.

4.5 Without appropriate expert commercial advice informing decisions the Council is exposed to a range of risks including unexpected costs, income streams proving to be less robust than anticipated with projects proving not to be viable as ongoing concerns, project creep and overruns, and reputational damage.

- 4.6 Regular and transparent reporting will ensure Members, senior officers and statutory officers have visibility of performance, compliance and emerging risks.
- 4.7 Without an appropriate commercial strategy there is a risk that business cases assumptions, financial models and revenue forecasts may lack sufficient depth or breadth and due diligence may be superficial.
- 4.8 Insufficient Governance in the form of poorly defined roles, lack of understanding of contractual requirements, lack of contractual performance and/or transparency could lead to the Council facing significant reputational damage from residents who see "their" money being lost on speculative projects. Insufficient corporate governance and a lack of appropriate commercial due diligence expose the Council to the risk of poor Value for Money.
- 4.4 Conflict of Interest: Councils may find themselves in a conflict between their role as a "local regulator" (e.g. planning) and their role as a "commercial developer".

5. Financial implications

- 5.1 A large part of achieving 2026-2029 Medium Term Financial Strategy (MTFS) financial forecasts depends on having in place a strategy that enforces focusing on achieving outcomes requiring the application of a commercial approach.
- 5.2 That is particularly important given the financially challenging context the authority is currently operating and transfer to the new authority of West Surrey, as part of LGR.
- 5.3 The 2026-29 MTFS includes c.£155m of capital receipts to be generated in 2026-27 with further £115m generated for the remainder of MTFS. Achieving such financial targets is heavily dependent on having in place the right strategy.

6. Legal comments

- 6.1 The Council must ensure that its commercial activities are compliant with all applicable legislation and regulations including (but not limited to) Best Value Duty, the Procurement Act 2023, subsidy control, Public Sector Equality Duty and the Prudential Code for capital finance in local authorities.
- 6.2 Legal Team will assist with all necessary legal documentation in support of commercial projects and schemes, and legal implications will be considered on a case-by-case basis.
- 6.3 Adoption of new policies falling outside the Policy Framework is within the remit of the Corporate Policy and Resources Committee (Part 3 section (b) of the Constitution).

Corporate implications

7. Commissioner Comments

- 7.1 The adoption of the commercial strategy is an integral part of the Council's improvement journey. The strategy sets out a framework that will ensure that commercial best practice is observed and that the corporate mindset embraces good commercial standards. It is recommended for adoption in full.

8. S151 Officer comments

- 8.1 Ensuring a consistent, robust approach to undertaking commercial activity and informing decisions and activity across all areas of the Council underpins effective assurance with respect to the delivery of value for money. The Section 151 Officer (who participated in the initial workshop) is supportive of the proposed Strategy.

9. Monitoring Officer comments

- 8.1 The Monitoring Officer confirms that the relevant legal implications have been taken into account.

10. Procurement comments

There are no procurement implications arising directly from this report.

11. Equality and Diversity

- 11.1 Any commercial activity must consider protected groups to ensure there are no equality issues created by inadvertently disadvantaging these groups.

12. Sustainability/Climate Change Implications

- 12.1 Implementing commercial strategies within the public sector is often aimed at financial outcomes where income generation/cost savings may be prioritised over long-term environmental and social impacts. Hence when undertaking any form of commercial activity, understanding the sustainability policies and approach of external parties involved in the initiative, must remain a key component of determining third-party suitability.

13. Other considerations

- 13.1 There are none.

14. Timetable for implementation

- 14.1 Immediately if the recommendations are approved by Council.

15. Contact

- 15.1 C.holman@spelthorne.gov.uk Coralie Holman Group Head Assets

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

Background Papers: Improvement and Recovery Plan

Appendices:

Appendix 1 – Commercial Strategy

Commercial Strategy 2026 - 2028

**Spelthorne Borough
Council**

April 2026



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Appendix. 1 - Our Commercial Framework and Checklist

Appendix. 2 – Commercial Business Case Guidance Template

Appendix. 3 – CSO Thresholds Details

Appendix. 4 – Process Map

Spelthorne Borough Council

Commercial Strategy 2026 – 2028

1 Introduction & Purpose

- 1.1 A strong commercial strategy is essential for ensuring that Spelthorne Borough Council operates efficiently, sustainably, and in a way that delivers clear value for money across all services.
- 1.2 This includes embedding a commercial mindset across the organisation, not simply undertaking commercial activity. It requires a whole organisation, corporate approach, ensuring decisions consider impacts across all services and functions.
- 1.3 Strong risk management is a core component of our commercial approach, it strengthens governance, protects public money and ensures decisions are resilient, transparent and aligned to organisational priorities. We will systematically identify, assess and mitigate financial, operational and strategic risks across all commercial activity. This includes clear ownership of risks, consistent scoring, proportionate controls, and early escalation of emerging issues.
- 1.4 A coherent commercial approach helps ensure that every service and investment contributes meaningfully to our commitment to support residents, businesses, communities, protect key services, and achieve our ambitions. This aligns with our broader values of sustainability - environmental, social, and economic and the commitment to putting residents at the heart of decision-making while ensuring effective and successful service delivery.

- 1.5 In this context, embedding value for money principles across all areas of the organisation is not optional, it is fundamental to our ability to deliver on our priorities. The Corporate Plan sets out ambitious goals across community wellbeing, addressing housing need, resilience, the environment, and service improvement, and each of these relies on sound financial stewardship and the careful management of resources. Ensuring that decisions are made with commercial awareness strengthens our capacity to navigate financial challenges while still investing in the services and outcomes that matter most to residents. A clear commercial strategy provides the framework that enables this, ensuring that every pound spent makes a measurable contribution to the lives of our residents.
- 1.6 This Strategy therefore sets out how we will take a consistent, practical and people focused approach to commercial activity across the Council. It brings together our existing work into a single, accessible framework (Fig. 1, page 3) that lays out how we need to think, act and work commercially, both now, and as we prepare and operate through transition to the new authority.
- 1.7 Our approach is grounded in our statutory duties, our Corporate Plan priorities, and our commitment to social, environmental and financial sustainability. It supports an intent to deliver best value and strengthen governance, and ensures the organisation is positioned effectively for transfer to the new authority in 2027.
- 1.8 The coming years will continue to be financially challenging. Internal and external pressures make it essential that we maximise income, reduce costs and manage financial risks in a well-informed way.
- 1.9 It is important to recognise that commercial activity is a responsibility shared by everyone across the Council, from the choices and decisions we make in how we spend money, to the scrutiny we give to those spending decisions.
- 1.10 We will take a whole organisation approach to act efficiently and understand the full costs of delivery, manage contracts better, strengthen commercial culture, protect and grow core services, and support borough regeneration.

1.11 Many of the factors laid out in the Corporate Plan, Improvement & Recovery Plan, (IRP) and Medium-Term Financial Strategy (MTFS) are directly relevant to the successful delivery of this strategy. (Fig. 2). It underpins the creation of a modern council with aligned structures, systems, processes, and cultural practices.

1.12 This Strategy:

- Describes the context and financial environment in which the Council is operating.
- Sets out a clear and consistent vision for how commercial decision-making informs council activities that support our priorities and statutory responsibilities.
- Defines the core principles that will guide our commercial and procurement approach.
- Explains what these principles mean in practical terms for the way we will work across the organisation.
- Outlines the measures we will use to monitor progress, assurance, and overall success.

COMMERCIAL FRAMEWORK



Fig.1 – Commercial Framework

2 Scope

- 2.1 This Strategy applies to both statutory and non-statutory activities carried out by the Council, including income generation, procurement, contract management, management of commercial assets, and the systems, skills and behaviours that support good commercial practice.

3 Context

- 3.1 Like many councils, Spelthorne faces a challenging financial environment. National funding has reduced, while demand for services continues to rise. To maintain a balanced budget, we have relied heavily on income generated from our investment property portfolio. As we move towards transition to the new authority, it is crucial that the scale, risks and long-term sustainability of this reliance are clearly understood and well managed.
- 3.2 The Medium-Term Financial Strategy (MTFS), Improvement and Recovery Plan (IRP) and emerging Service Plans (2026/27) set out the actions required to manage pressures and ensure readiness for transition. This Strategy describes how a stronger commercial approach will support these aims.

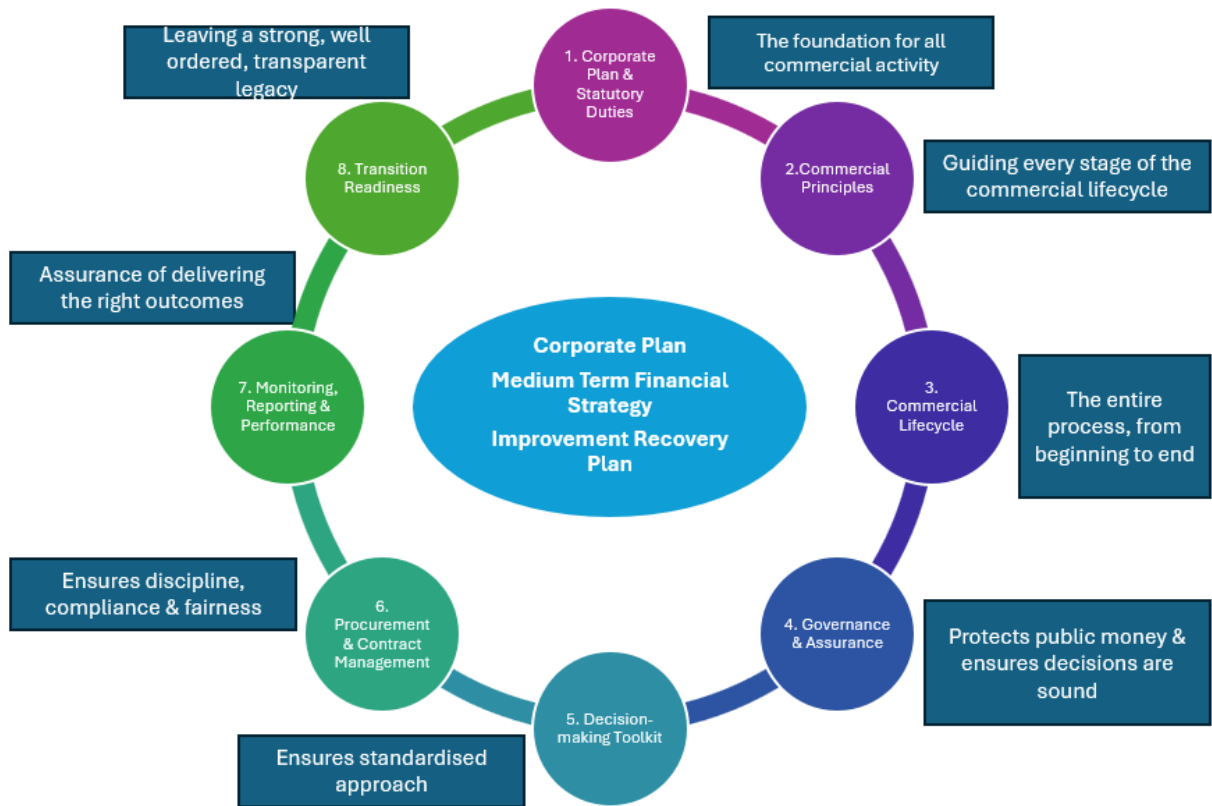


Fig. 2 – Commercial Strategy

4 What We Mean by Commercial

- 4.1 Being commercial for Spelthorne means balancing financial purpose with public value.
- 4.2 It is fundamentally a mindset, a disciplined, evidence-based way of thinking and working, rather than a set of standalone commercial ventures. It also includes having insight into innovation, understanding emerging opportunities, and recognising when the market already provides a solution.
- 4.3 It means balancing financial purpose with financial value. It is about being thoughtful and opportunity aware in how we use our resources and deliver services, while retaining our social value principles and ensuring that our citizens remain at the heart of everything we do.
- 4.4 It means taking a more informed approach to investment, in time, money and capacity, and making sure those investments provide clear value. To do this well, we must understand the full and true cost of the services we deliver. This includes lifecycle costs, overheads, and the wider organisational impact, ensuring decisions are not taken in isolation. This helps us make better choices, avoid hidden costs and unintended consequences of our actions and ensure that any new activity is viable, affordable and aligned to our priorities.
- 4.5 We must look for opportunities to do things differently, understand our customers and markets, and ensure our decisions are informed, compliant, fair and purposeful. This requires adhering strictly to the Council's procurement framework, ensuring that all purchasing activity is conducted through approved and compliant routes. It involves selecting suppliers through established processes rather than resorting to informal, convenience-based purchasing or repeatedly relying on familiar providers without proper market testing. By following these principles, the organisation upholds transparency, fairness, and value for money in all commercial decisions.

- 4.6 Crucially, being commercial is not only about generating ideas or spotting opportunities; it is about understanding the full picture, knowing the true cost of our services and taking a disciplined, business-like approach to turn ideas into action.

5 Our Commercial Vision

- 5.1 Our vision is to ensure that a commercially minded approach is applied consistently and corporately across all council activities, supported by clear purpose, outcomes and market insight.
- 5.2 By embedding consistent, evidence based and value for money thinking across all services and by upholding strong governance, compliance and accountability, we will strengthen financial resilience, reduce risk, and support the reliable delivery of quality services for residents as we prepare for transition to the new authority.

6 The Core Principles for our Commercial Strategy

- 6.1 These principles explain how we make decisions, spend money responsibly, and work with others. They show our commitment to fairness, value for money, and doing the right thing for people and the environment. They set the standard for how commercial and procurement activity will be approached and delivered. We will:

Purpose, Responsibility and Transparency
<ul style="list-style-type: none"> • Be clear about purpose and outcomes for every commercial decision.
<ul style="list-style-type: none"> • Act transparently, fairly and ethically in all commercial activity, complying with procurement rules and public sector standards.
<ul style="list-style-type: none"> • Be clear about roles, responsibilities and expectations, with strong contract ownership and governance.
<ul style="list-style-type: none"> • Plan for change and manage it well with senior level assurance and proportionate controls.
<ul style="list-style-type: none"> • Keep residents and communities at the centre of decision-making; commercial activity will not distract from statutory duties.
Consistency, Capability and Collaboration
<ul style="list-style-type: none"> • Apply a consistent approach across the organisation, reducing variation and siloed practice.
<ul style="list-style-type: none"> • Ensure we have the capacity and capability to deliver commercial activity effectively.
<ul style="list-style-type: none"> • Use the commercial lifecycle to guide all procurement and contract decisions.
<ul style="list-style-type: none"> • Work collaboratively with partners to co-create and shape ideas.
<ul style="list-style-type: none"> • Build positive supplier relationships that encourage quality and continuous improvement.
<ul style="list-style-type: none"> • Build a trusted brand that is easy for others to work with.
Value, Measurement and Learning
<ul style="list-style-type: none"> • Maximise social value and support the local economy wherever possible, including understanding the impact on local businesses.
<ul style="list-style-type: none"> • Use data, insight and digital tools to strengthen decision-making and performance monitoring.
<ul style="list-style-type: none"> • Ensure procurement and investment activity is supported by measurable actions and indicators.
<ul style="list-style-type: none"> • Promote a positive, learning culture where contributions are recognised and celebrated.
<ul style="list-style-type: none"> • Share learning openly and champion achievements.
Financial and Environmental Responsibility
<ul style="list-style-type: none"> • Focus on financial sustainability by increasing income and improving efficiency.
<ul style="list-style-type: none"> • Make environmentally responsible decisions aligned with climate commitments.
<ul style="list-style-type: none"> • Resource opportunities appropriately and assess them using a consistent, proportionate business case approach with true cost understanding.

7 Commercial Governance Framework

Overview

- 7.1 The commercial governance framework provides a disciplined and transparent structure for how the Council makes decisions involving procurement, contracts, assets and expenditure. Its purpose is to ensure that every commercial decision, regardless of scale, is taken in a consistent, well assured and financially responsible manner. The focus is not on pursuing speculative opportunities, but on safeguarding public resources by ensuring decisions remain affordable, compliant with regulations, and aligned with the Council's strategic and statutory responsibilities.
- 7.2 At the centre of this framework are clear standards for due diligence, financial assessment, risk analysis and legal compliance, supported by reliable systems and accurate data. Defined approval routes ensure proportionate scrutiny at each stage of the decision-making process, with senior officers and Members providing oversight and assurance. This approach ensures that commercial activity is well controlled, contract management is robust, and commercial risks are identified and managed appropriately.
- 7.3 Together, these arrangements strengthen the Council's financial stability, reduce the potential for unmanaged risk, and increase confidence in the way commercial commitments are made and monitored. The governance framework therefore reinforces value for money, regulatory compliance and organisational resilience, supporting both day-to-day operations and the Council's preparations for transition to the new unitary authority.

Detailed Framework

- 7.4 We will adopt a clear, consistent and proportionate governance framework (Fig.3) that ensures all commercial decisions, whether related to procurement, contracts, assets or expenditure, are taken in a disciplined, transparent and well assured manner. The focus of this framework is not on pursuing new commercial opportunities, but on strengthening decision quality, ensuring compliance, and protecting public money.
- 7.5 A standardised business case and assessment process will apply to all significant commercial decisions. This will set out mandatory requirements for:
- Due diligence
 - Financial assessment and full cost understanding
 - Risk analysis and mitigation planning
 - Legal, procurement and staffing implications
 - Documentation, audit evidence and reporting standards
- 7.6 Group Heads, Management Team and Service Committees will provide structured oversight, ensuring decisions are affordable, aligned with strategic priorities, compliant with regulations, and supported by proportionate controls. Defined approval routes and escalation pathways as laid out in procurement guidelines will ensure higher risk or higher value decisions receive appropriate scrutiny. (Appendix 3)
- 7.7 Instructing Officers will become the Contract Manager. It will be essential to undertake regular and transparent reporting to ensure Members, senior officers and statutory officers have visibility of performance, compliance and emerging risks. The overall purpose is to protect the organisation through disciplined stewardship, not risk taking and ensuring everyone is accountable, with decision-making at appropriate levels.



Fig 3. Commercial Governance & Decision-making Framework

8 Portfolio Approach (Assets & Investments)

- 8.1 We will manage all the Council's land and property assets responsibly: implementing a rationalisation plan to identify disposals, reducing liabilities, support debt reduction, and focus on assets that deliver sustainable value. Decisions will be informed by updated valuations, market intelligence and scenario modelling.
- 8.2 Performance will be monitored through consistent reporting of income and expenditure, lifecycle costs and risks. Under-performing assets will have structured exit strategies that consider financial, legal and service impacts.

9 Systems, Data, Procurement & Contract Management

- 9.1 Our ability to make sound commercial decisions depends on strong systems, accurate data and consistent processes. We will therefore prioritise the reliability, transparency and accessibility of the information that underpins spending, contract commitments, supplier performance and asset lifecycles.
- 9.2 Aligning all activities with Council Procurement and contract management requirements will ensure:
 - All procurement activity follows approved, compliant routes, complying with the Procurement Act 2023
 - Decisions are based on accurate data, market insight and fair evaluation
 - Off contract or convenience purchasing is actively prevented
 - Supplier performance is consistently monitored through KPIs, reviews and documented performance evidence

- 9.3 Up to date systems, including contract registers, property and asset databases, financial monitoring tools and dashboards, will provide assurance over spend, risk exposure and contractual obligations. These systems will support early intervention, timely decision-making and improved organisational control.
- 9.4 Ensuring all Council activity is aligned via a consistent approach, processes and reliable data will be critical for both day-to-day financial stewardship and for ensuring the organisation is fully prepared for transition to the new authority.
- 9.5 Utilising the standardised commercial toolkit, set out in Appendix 2, will ensure consistency and support officers in making informed and compliant decisions, including:
- Business case template
 - Strengths, Weaknesses, Opportunities and threats (SWOT) analysis template
 - Risk analysis template
 - Sensitivity testing guidance
 - Market insight checklist
 - Contract management checklist
 - Governance and sign-off flowchart (Appendix 4)

10 People, Culture & Commercial Behaviours

- 10.1 We will build a culture where commercial thinking and commercial behaviours are part of everyday work. These commercial behaviours set clear expectations for how every officer and manager approach spending, procurement, contract management and asset stewardship. Their purpose is to embed a consistent, disciplined way of working that prioritises value for money, compliance with approved processes, evidence-based decisions, and accountability for outcomes.
- 10.2 All officers are expected to apply these behaviours in day-to-day tasks and formal decisions alike, using reliable data, following the Council's procurement and governance requirements, collaborating constructively across services and with partners, and proactively managing risks and performance.
- 10.3 Together, these behaviours strengthen decision quality, protect public funds, and ensure that commercial activity supports our statutory duties, community outcomes, and long-term financial sustainability. Commercial behaviours will be considered as part of recruitment and performance management.
- 10.4 Part of embedding commercial behaviours means, ensuring instructing officers (contract managers) have the capacity and capability to deliver them. Where the instructing officer doesn't have the required skillset they should attend training, consider use of external expertise where applicable. Commercial behaviours include training, tools, and support to challenge contractors, understand markets, and apply the commercial lifecycle.
- 10.5 Accountability for contract monitoring and performance will be the responsibility of the contract manager and will be proportionate to level of role and responsibilities. Where commercial standards are not met, performance management processes, including disciplinary routes where appropriate, may be invoked.
- 10.6 Our expected commercial behaviours from everyone across the Council are:

Behaviour	Description
Value for Money Mindset	Actively seeks the best balance of cost, quality and social value in every decision, avoiding convenience choices and ensuring resources are used efficiently.
Evidence Based Decision Making	Uses reliable data, financial analysis and insight to inform decisions, ensuring choices are grounded in fact rather than assumption.
Compliance and Professional Discipline	Consistently follows procurement rules, governance standards and approved processes, maintaining strong audit trails and ethical practice.
Market and Supplier Awareness	Understands market conditions, supplier capability and cost drivers to ensure decisions are informed, realistic and commercially sound.
Customer and Community Focused Judgement	Considers the impact of decisions on residents, services and statutory duties, ensuring commercial choices support positive outcomes.
Collaborative Working	Shares information, works constructively across teams and partners, and supports consistent, joined up decision making.
Accountability and Ownership	Takes responsibility for the quality, compliance and delivery of commercial decisions, proactively managing risks and performance.
Constructive Challenge	Proactively identifies and challenges non-compliant, inefficient or non-commercial practices, promoting adherence to standards and improving overall decision quality.
Continuous Improvement Mindset	Actively looks for ways to improve processes, strengthen controls and learn from experience to enhance the Council's commercial maturity.

11 Delivery, Monitoring & Success Measures

11.1 Delivery of this strategy will be organised across workstreams covering governance, procurement, contract management, capability building, systems and transition readiness. The emphasis throughout will be on consistent application of standards, improved compliance, and strengthened financial discipline.

11.2 Progress will be monitored through:

- Monthly internal oversight of commercial decisions and controls by instructing officer, raising any issues with senior management
- Quarterly reporting on procurement activity, contract performance, risks and financial impact
- Routine contract reviews and portfolio level monitoring of assets
- KPIs that track compliance, value for money, risk management and decision quality will be included with the contract
- Monitoring must include regular spend analysis, sensitivity testing outcomes, and compliance with the commercial lifecycle.

11.3 The Commercial Business Case Guidance and Template Pack (Appendix 2) will set out the activities required to embed the new governance framework and decision-making standards across the organisation. Measures of success will focus on improved assurance, reduced unmanaged risk, clearer audit trails, more consistent procurement practice, and strengthened financial stewardship.

11.4 The Strategy will be reviewed annually to ensure it remains fit for purpose and that commercial activity continues to support stability, compliance and readiness for transfer to the new authority. Ongoing commercial responsibilities, systems and documentation will be organised in a way that supports a smooth transition and prevents the transfer of unmanaged liabilities.

12 Handover & Transition Readiness

- 12.1 A significant aspect of this strategy involves ensuring all commercial functions are transition ready. This requires the preparation of complete and accurate asset schedules, liabilities registers, and contract documentation, including key dates, performance indicators, financial commitments, and termination or break clause provisions. All commercial processes, governance arrangements, and ongoing negotiations will need to be clearly documented so that the new authority has a complete understanding of the obligations it will inherit.
- 12.2 The governance framework will extend beyond 2027 to ensure continuity until the new authority is fully ready to assume commercial responsibilities. This includes a clear handover model, documentation standards, and defined ownership of commercial risks.
- 12.3 Our overarching aim is to leave a clear, orderly, and well-governed commercial legacy that supports operational continuity and reduces the risk of any financial or legal surprises during transition.

Appendix. 1 – Our Commercial Framework and Checklist

1. Our Strategic Anchor	Corporate Plan & Statutory Duties Everything we do commercially must support: <ul style="list-style-type: none"> • Resident wellbeing • Financial resilience • Environmental responsibility • Strong communities • Safe, reliable services This is the foundation for all commercial activity.
Key Consideration:	<i>Does this suggestion align to the Corporate Plan, MTFS & IRP statutory duties?</i>
2. Our Commercial Principles	These principles shape how we think and act: <ul style="list-style-type: none"> • Purpose & Outcomes – every decision must have a clear benefit for residents or services. • Value for Money – we use resources wisely and avoid unnecessary cost. • Consistency – we apply the same high standards across the organisation. • Capacity & Capability – we ensure people have the skills, tools and support they need. • Social Value & Local Impact – we consider the wider benefits for our communities and local businesses. • Innovation & Insight – we look for better ways of working and understand our markets. • Transparency & Ethics – we follow the rules, act fairly and maintain public trust. These principles guide every stage of the commercial lifecycle.
Key Consideration:	<i>Have you referred to the Strategy and fully considered all the core principles to support this decision?</i>
3. Our Commercial Lifecycle	A clear, structured approach ensures decisions are well informed and proportionate: Identify → Assess → Plan → Procure → Manage → Review This lifecycle is adopted for all commercial activity, from small purchases to major contracts, from identifying a requirement through to contract termination.
Key Consideration:	<i>Do you understand how all the stages of the lifecycle approach for all commercial activity apply to your suggestion?</i>
4. Our Governance & Assurance	Strong governance protects public money and ensures decisions are sound.

	<p>We will have:</p> <ul style="list-style-type: none"> • Clear roles and responsibilities • Defined thresholds and risk levels using defined risk scoring methodology • Technology and data considerations • Change control processes • True cost understanding • Legal and financial compliance • Proportionate oversight from officers and Members <p>This ensures decisions are transparent, affordable and aligned to our priorities.</p>
Key Consideration:	<i>Have you referred to the guidance for each of the listed requirements to ensure compliance with our governance approach?</i>
5. Documentation and Reporting	<p>We will use a standardised toolkit to ensure commercial activity discipline and consistency across the organisation:</p> <ul style="list-style-type: none"> • A clear written record of the decision, rationale and approval route. • A complete audit trail of evidence, evaluations, market testing and financial data. • Use of standard templates and governance documentation. • Clear reporting to senior officers, Members and statutory officers. <p>Protects the Council by ensuring decisions can withstand internal and external scrutiny through transparency, auditability and accountability</p>
Key Consideration:	<i>Have you used the toolkit, guidance and templates to ensure all aspects required for decision-making are included in the business case?</i>
6. Our Procurement & Contract Management	<p>We will deliver commercial activity in a disciplined, compliant and fair way:</p> <ul style="list-style-type: none"> • Approved procurement routes only • Clear evaluation criteria • Strong supplier relationships • KPIs and performance monitoring • Contingencies for changes in scope • Regular Spend analysis • Documented contract management <p>This ensures we get the best value and quality for residents.</p>

Key Considerations:	<i>Have you followed our procurement policies to ensure compliance? Are outcome-based specifications clearly defined? Is supplier evaluation thorough?</i>
7. Our Monitoring & Performance	<p>We will track progress and hold ourselves to account through:</p> <ul style="list-style-type: none"> • KPIs • Quarterly reporting • Risk monitoring • Audit trails • Portfolio oversight <p>This gives assurance that commercial activity is delivering the right outcomes.</p>
Key Consideration:	<i>Have you considered all aspects of monitoring and performance to ensure robust tracking of outcomes?</i>
8. Our Transition Readiness, beyond 2027,	<p>We will ensure the new authority inherits a clear, well-governed commercial environment:</p> <ul style="list-style-type: none"> • Complete asset schedules • Liabilities registers • Contract registers • Governance continuity • Documented processes and decisions <p>Our aim is to leave a strong, orderly and transparent commercial legacy.</p>
Key Consideration:	<i>Are registers up to date and documentation standards upheld to ensure smooth transition to the new authority?</i>

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Appendix 1

Spelthorne Borough Council

Commercial Business Case Guidance and Template Pack

Aligned to Spelthorne Commercial Strategy 2026-2028

Contents

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01/04/2026 v1

Commercial Business Case Guidance and Template Pack

1. Guidance

How to complete the template, what “good” looks like, and common pitfalls to avoid.

This guidance supports the Spelthorne Commercial Strategy 2026/27 and ensures business cases are complete, compliant, proportionate and auditable. Use alongside the Business Case Template and the Author Checklist.

1. Proposal Overview

- Keep the summary short and outcome-focused.
- Be explicit about type of activity (e.g. procurement vs asset decision).

2. Strategic Alignment

- State which Corporate Plan priorities are supported and how residents benefit.
- Explain link to MTFS (e.g. savings, income, cost avoidance) and any IRP actions.
- Confirm statutory duties supported and any compliance risks mitigated.

3. Applying the Commercial Principles

- Purpose & Outcomes: define SMART benefits.
- Value for Money: present options with total cost, benefits and risks; include benchmarking or quotes where proportionate.
- Capacity & Capability: identify resource needs (skills, time, systems).
- Social Value & Local Impact: use the Social Value model relevant to SBC objectives; specify measurable commitments where possible.
- Insight & Innovation: summarise market engagement, research, or pilot learning.
- Transparency & Ethics: avoid off-contract purchasing; follow CPRs.

4. Commercial Lifecycle

- Always cover Identify→Assess→Plan→Procure→Manage→Review – scale your effort to the value/risk of the proposal.
- Include a simple options appraisal and sensitivity test for key cost drivers.

5. Governance & Assurance

- Costs: include lifecycle costs (set-up, operating, maintenance, exit).
- Risks: complete risk scoring; show mitigations and residual risk.
- Legal/Finance/Procurement: evidence input and approvals required before Committee.
- Technology & Data: engage IT/Data Protection early if systems or personal data are involved.

6. Documentation & Reporting

- Use standard templates; keep an audit trail of analysis, decisions and approvals.
- Store documents in the agreed location and reference them in the case.

7. Procurement & Contract Management

- Define outcome-based specifications; avoid overly prescriptive inputs unless necessary.
- Use evaluation criteria that balance quality and price appropriately.
- Set KPIs that are few, measurable and relevant; include change control, financial checks and exit arrangements.

8. Monitoring & KPIs

- Name the owner for each KPI, data source, frequency and governance route (e.g. quarterly committee report).

9. Transition Readiness (beyond 2027)

- Ensure assets, contracts and liabilities are recorded accurately and that handover documentation is complete.

Common Pitfalls & How to Avoid Them

- No options appraisal or weak VFM case → include at least a do-nothing and preferred option with cost/benefit comparison.
- Missing approvals or late engagement with specialists → involve Legal, Finance and Procurement early.
- Unclear KPIs → define measures before procurement, align to outcomes.
- Hidden costs → include overheads, lifecycle and exit costs.

Quick Reference – Required Attachments

- Business case document
- Options appraisal & cost model
- Risk register (scored)
- Sensitivity test
- Market insight summary
- Procurement documents (route, spec, evaluation)
- Contract management plan (KPIs, monitoring, exit)
- Transition pack items (register updates, documentation)

Business Case Approval

Proportionate controls apply throughout. Seek early advice from Procurement, Finance and Legal



2. Business Case Template

Version: 1.0 | Date: 12 Mar 2026 | Owner: _____

1. Proposal Overview

1.1 Proposal Title

(Insert title of proposal / project / purchase / contract decision)

1.2 Lead Officer / Service Area

Lead Officer: _____

Group Head/ Service: _____

Contact Details: _____

1.3 Summary of Proposal

Clear, brief explanation — what is being proposed and why?

1.4 Type of Commercial Activity

- Invest to Save
- Contract Variation / Extension
- New Contract
- Asset decision (purchase / disposal / investment)
- Service change / redesign
- Income generation
- Other (describe)

2. Strategic Alignment (Key Consideration 1)

2.1 Contribution to Corporate Plan Priorities

Explain how the proposal supports: Residents wellbeing; Addressing Housing Need, Safe and reliable services; Financial resilience; Environmental responsibility; Strong communities.

2.2 Alignment with Medium-Term Financial Strategy (MTFS) and Improvement and Recovery Plan (IRP)

How does this proposal support financial sustainability and/or required IRP actions? What pressures or risks does it mitigate?

Alignment with Local Government Reorganisation objectives?

How does this proposal align with LGR objectives and ensure a safe and legal transition?

2.3 Statutory Duties

Does this proposal support or protect statutory services? Could it negatively impact statutory compliance?

Mandatory Check

Have you demonstrated and evidenced alignment with the Corporate Plan, MTFS, IRP and statutory duties?

3. Application of Commercial Principles (Key Consideration 2)

3.1 Purpose & Outcomes

What clear benefit does the proposal deliver? How does it improve services or outcomes for residents?

3.2 Value for Money

Options appraisal and comparison; best balance of cost, quality and social value. Business case attached?

3.3 Consistency

Has a consistent approach been used (templates, tools, processes)?

3.4 Capacity & Capability

Do we have the skills, resources and capacity to deliver this proposal?

3.5 Social Value & Local Impact

Will it support local businesses, local employability, environmental impact?

3.6 Insight & Innovation

What market intelligence, benchmarking or research has been used?

3.7 Transparency & Ethics

Is the approach compliant with procurement rules and ethical standards?

Mandatory Check

Have you evidenced how each applicable commercial principle has been applied?

4. Commercial Lifecycle Evidence (Key Consideration 3)

4.1 Identify

What need, problem or demand is being addressed?

4.2 Assess

Options appraisal, SWOT analysis, sensitivity testing, impact assessment.

4.3 Plan

Delivery plan, dependencies, procurement route, key milestones.

4.4 Procure

Procurement route justification, market testing evidence, evaluation criteria, supplier selection summary (if relevant).

4.5 Manage

Contract management arrangements, KPIs, escalation routes, risks and mitigations.

4.6 Review

How will performance be reviewed? Continuous improvement approach.

Mandatory Check

Have you applied and evidenced all relevant stages of the lifecycle?

5. Governance & Assurance (Key Consideration 4)

5.1 Legal Implications

Confirm legal advice sought; key legislative issues.

5.2 Financial Implications

Full-cost understanding (including lifecycle, overheads, exit costs); budget availability; ongoing commitments; savings/income projections.

Attach: Full-cost model; Financial assessment; Sensitivity analysis; Funding source confirmation.

5.3 Risk Assessment and Assurance

Completed risk scoring (per Council methodology); top risks and mitigations.

5.4 Technology & Data Implications

System changes required? Data governance issues (security, sharing, GDPR)?

5.5 Oversight Required

State required approvals: Group Head, MAT, Committee, Statutory officers, Others.

Mandatory Check

Have you demonstrated compliance with governance requirements (risk scoring, cost understanding, legal/financial assurance, technology/data considerations)?

6. Documentation & Reporting (Key Consideration 5)

6.1 Toolkit & Templates Used

List documents attached: Business case, SWOT, Risk analysis, Sensitivity testing, Market insight, Contract management checklist, Procurement docs, Other.

6.2 Audit Trail

Record of rationale, analysis and approvals; storage location.

Mandatory Check

Have you used the required toolkit/templates and provided a complete audit trail?

7. Procurement & Contract Management (Key Consideration 6)

7.1 Procurement Compliance

Approved route selected and justified; CPR and Public Contracts Regulations compliance confirmed.

7.2 Contract Specifications

Outcome-based specifications; quality and cost evaluation methodology.

7.3 Supplier Analysis

Market engagement outcomes; supplier scoring summary.

7.4 Contract Management Plan

KPIs, performance monitoring, change control, exit/termination arrangements.

Mandatory Check

Have you followed procurement rules and planned for effective contract management?

8. Monitoring, KPIs & Performance (Key Consideration 7)

8.1 Measures of Success

KPIs: Financial performance; Social value outcomes; Risk indicators; Compliance rates; Delivery milestones.

8.2 Monitoring Arrangements

Who will monitor; frequency; reporting route.

Mandatory Check

Have you defined measurable KPIs and monitoring arrangements?

9. Transition Readiness (Key Consideration 8)

9.1 Asset, Contract & Liability Registers

Confirm inclusion of any assets, contracts or liabilities affected.

9.2 Documentation Standards

Are all materials transition-ready? Is continuity assured beyond 2027?

Mandatory Check

Are registers up to date and documentation transition-ready?

10. Final Recommendation

Proceed / Not Proceed / Proceed with Modifications (provide rationale)

11. Appendices

Attach cost models, risk assessments, market analysis, procurement documents, asset information, KPI frameworks, equality/environmental assessments, and technical reports.

3. Business Case Checklist

Use this one-page checklist to confirm your case is complete and compliant.

Strategic Alignment

Evidence alignment with Corporate Plan, MTFS, IRP and statutory duties is provided.

Yes No Evidence: _____

Impacts on residents, services and financial resilience are described. Yes No Evidence:

Commercial Principles Applied

Purpose & outcomes are clear and measurable. Yes No Evidence:

VFM evidenced via options appraisal / benchmarking. Yes No Evidence:

Capacity & capability to deliver are confirmed. Yes No Evidence:

Social value and local impact considered. Yes No Evidence:

Transparency & ethics – procurement rules followed. Yes No Evidence:

Commercial Lifecycle

Identify → Assess → Plan → Procure → Manage → Review steps evidenced proportionately.

Yes No Evidence: _____

Governance & Assurance

Risk scoring completed; top risks mitigated. Yes No Evidence:

Full-cost model and sensitivity analysis attached. Yes No Evidence:

Legal, finance, procurement inputs obtained. Yes No Evidence: _____

Technology & data implications addressed. Yes No Evidence: _____

Approvals/oversight route stated. Yes No Evidence: _____

Documentation & Reporting

Required templates/tools used. Yes No Evidence: _____

Complete audit trail and storage location confirmed. Yes No Evidence: _____

Procurement & Contract Management

Approved procurement route justified. Yes No Evidence: _____

Outcome-based specification and evaluation method set. Yes No Evidence: _____

Contract management plan (KPIs, monitoring, exit) included. Yes No Evidence: _____

Monitoring & KPIs

KPIs defined with data sources and reporting frequency. Yes No Evidence: _____

Transition Readiness

Registers updated; documentation complete and transition-ready. Yes No Evidence: _____

Sign-off

Author: _____ Date: _____

Group Head: _____ Date: _____

Finance: _____ Date: _____

Procurement: _____ Date: _____

Legal: _____ Date: _____

MAT: _____ Date: _____

Committee (if applicable): _____ Date: _____

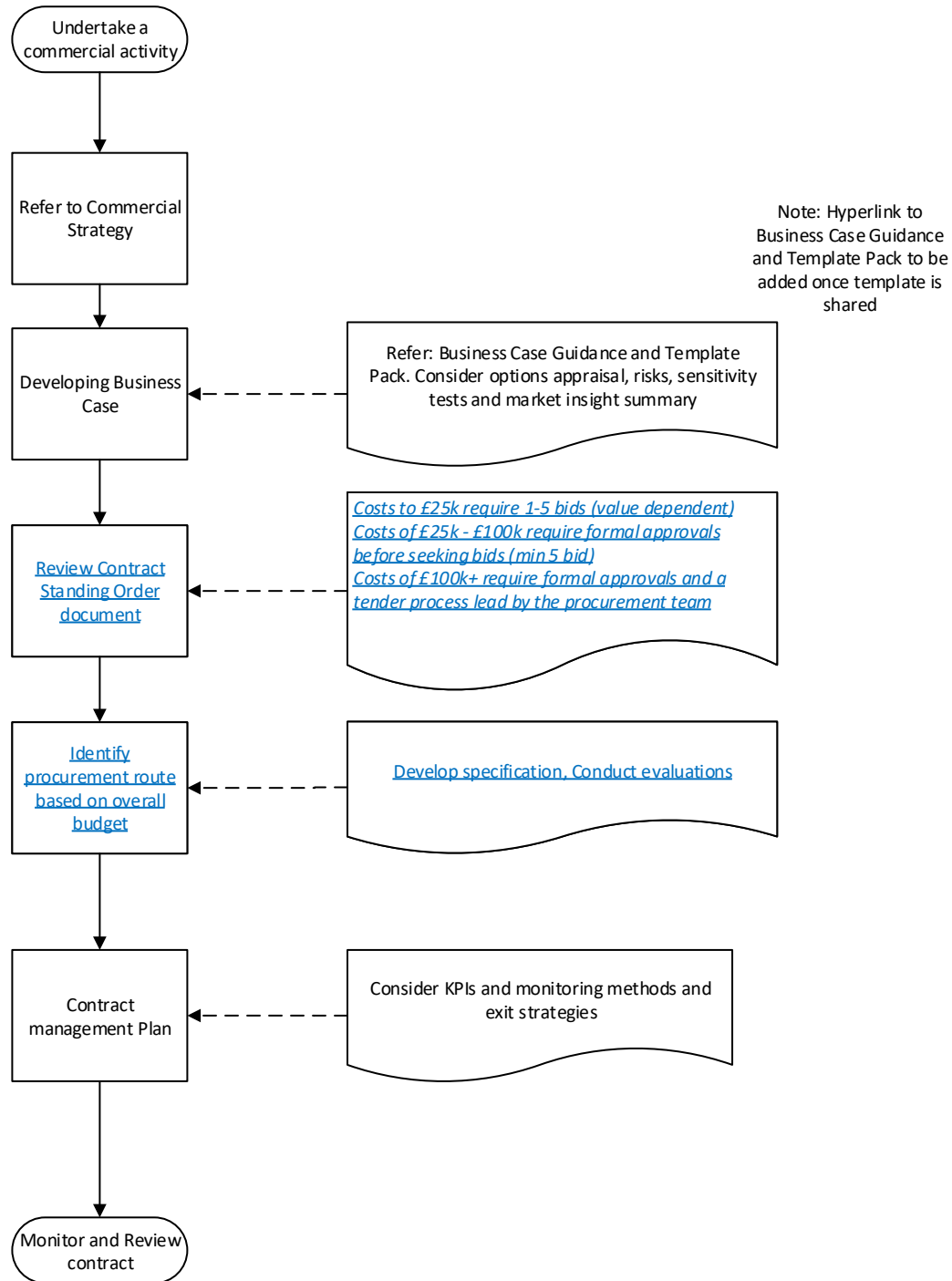
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18. Thresholds Details

						Requirements if procured via a Framework or Open Framework	
Threshold	1	2	3	4	5	2-4	5
Value	£0 - £5,000	£5,001 - £25,000	£25,001 - £100,000	£100,001 – UK Procurement threshold	Above UK Procurement threshold (detailed in Appendix 2)	£5,001 - UK Procurement Threshold	Above UK Procurement Threshold (detailed in Appendix 2)
Sourcing Plan required?	No	No	Yes	Yes	Yes	Yes, if over £25,001	Yes
Receipt of quotes/tenders	Email	E-Sourcing system	E-Sourcing system	E-Sourcing system	E-Sourcing system	E-Sourcing system	E-Sourcing system
Procurement Process	Minimum of one quote sought (local Suppliers should be used where appropriate)	Minimum of 5 bidders to be invited to quote. Alternatively, open process.	Minimum of 5 bidders to be invited to quote. Alternatively, open process.	Open tender	Open tender or Competitive Flexible Procedure	Mini competition or Direct Award	Mini competition or Direct Award
Advertising requirements	None	None, if inviting quotes. If open, advertise via E-Sourcing system.	None, if inviting tenders. If open, advertise via Find a Tender.	Find a Tender	Find a Tender	None	None
Procurement lead	Service Area	Service Area	Service Area	Corporate Procurement Team	Corporate Procurement Team	Under £100,000 Service Area. Over £100,000, Corporate Procurement Team	Corporate Procurement Team
Financial assessment required	No	No	Yes	Yes	Yes	Yes, if over £25,001	Yes
Award Process	Budget Manager to approve	Budget Manager to approve	Award report to be approved.	Award report to be approved.	Award report to be approved.	Under £25,000 Budget manager to approve	Award report to be approved.
Contract Award notice required	No	No	Yes	Yes	Yes	No	Yes
Type of Contract	Purchase Order Terms and Conditions	Legal to advise on appropriate form of contract	Legal to advise on appropriate form of contract	Legal to advise on appropriate form of contract	Legal to advise on appropriate form of contract	As per framework guidance	As per framework guidance
Who can authorise / sign the contract	Group Head	Group Head	Legal to action in accordance with the Council's constitution	Legal to action in accordance with the Council's constitution	Legal to action in accordance with the Council's constitution	Legal to action in accordance with the Council's constitution	Legal to action in accordance with the Council's constitution

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Commercial Strategy Map



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Committee Report Checklist

Please submit the completed checklists with your report. If final draft report does not include all the information/sign offs required, your item will be delayed until the next meeting cycle.

Stage 1

Report checklist – responsibility of report owner

ITEM	Yes / No	Date
Councillor engagement / input from Chair prior to briefing	yes	19/3/26
Commissioner engagement (if report focused on issues of concern to Commissioners such as Finance, Assets etc)	no issues	26/3/26
Relevant Group Head review	yes	22/3/26
MAT+ review (to have been circulated at least 5 working days before Stage 2)	yes	22/3/26
This item is on the Forward Plan for the relevant committee	yes	22/3/26
	Reviewed by	
Finance comments (circulate to Finance)	yes	22/3/26
Risk comments (circulate to Lee O’Neil)	yes	22/3/26
Legal comments (circulate to Legal team)	yes	22/3/26
HR comments (if applicable)	n/a	

For reports with material financial or legal implications the author should engage with the respective teams at the outset and receive input to their reports prior to asking for MO or s151 comments.

Do not forward to stage 2 unless all the above have been completed.

Stage 2

Report checklist – responsibility of report owner

ITEM	Completed by	Date
Monitoring Officer commentary – at least 5 working days before MAT	L.Heron	24/3/26
S151 Officer commentary – at least 5 working days before MAT	T.Collier	22/3/26
Confirm final report cleared by MAT	Due at MAT on 31/3/26	

Corporate Policy & Resources Committee

Monday 20 April 2026

Title	<i>The Spelthorne Borough Council Off-Street Parking Places (Amendment No.3) Order 2026</i>
Purpose of the report	To make a recommendation to Council
Report Author	<i>Jackie Taylor Group Head Neighbourhood Services</i>
Ward(s) Affected	All Wards
Exempt	No
Exemption Reason	Not applicable
Corporate Priority	Community Services
Recommendations	The Committee is asked to identify and recommend to Council the selected proposed variations (set out in paragraph 3.2 of this report) to The Spelthorne Borough Council Off-Street Parking Places (Amendment No. 3) Order 2026.
Reason for Recommendation	The purpose of this report is to provide the Corporate Policy & Resources Committee with details of the proposed amendments to the Spelthorne Borough Council Off-Street Parking Places (Amendment No.3) Order 2026, to enable the Committee to identify and recommend these variations to Council as detailed in 2.7 of this report.

1. Executive summary of the report

What is the situation	Why we want to do something
<ul style="list-style-type: none"> <i>Proposed amendments to “The Spelthorne Borough Council (Off-Street Parking Places Order) Amendment no.3) Order 2026</i> 	<ul style="list-style-type: none"> <i>When proposing to make any changes to the parking order and its schedules the changes must be agreed by Council and the amended order made.</i>
This is what we want to do about it	These are the next steps
<ul style="list-style-type: none"> <i>Consider the proposals within this report and identify and agree to recommend the Corporate Policy and Resources Committee selected variations to Council.</i> 	<i>As agreed at Council on 23 October 2025 these proposed amendments were discussed and agreed at Environment and Sustainability Committee and are now being put to Corporate Policy and</i>

2. Key issues

- 2.1 The Council's current Parking Policy was set in 2020 following an extensive consultation and engagement exercise. This established the current Spelthorne Borough Council (Off-Street Parking Places) (OSPPO) Order 2020.
- 2.2 Spelthorne Borough Council manages thirty-eight car parks, ensuring accessibility with free motorcycle parking as well as designated disabled parking spaces at most locations.
- 2.3 Public car parks are an amenity provided by the Council for the convenience of the public. In shopping and recreational areas, they also encourage and maintain the viability of businesses but the income from the car parking charges is expected to, at least, cover the cost of providing and maintaining the car parks.
- 2.4 On Thursday 18 September 2025 a report was presented to the Environment and Sustainability Committee detailing proposed amendments to the SBC OSPPO. The Committee resolved to make a recommendation to Council as set out in paragraph 2.5. below.
- 2.5 **On 18 September, the Committee resolved to make a recommendation to Council to:**
1. Authorise the Group Head Neighbourhood Services to proceed with the proposals made in this report and to implement the Spelthorne Borough Council Off-street Parking Places (Amendment No. 3) Order 2026.
 2. Authorise the Group Head Corporate Governance to publish all notices required to implement the Spelthorne Borough Council Off-street Parking Places (Amendment No. 3) Order 2026; and
 3. Authorise the Group Head Neighbourhood Services, in consultation with the Group Head Corporate Governance, to consider and address any objections and to amend the proposal if necessary, following the public consultation.
- 2.6 The report was subsequently presented to Council and debated at its meeting on 23 October 2025. At that meeting, the Parking Services Operational Manager advised that, should approval be granted, a one-month public consultation period would take place before any proposed amendments could become enforceable.
- 2.7 **On 23 October 2025, Council resolved to:**
1. Authorise the Group Head Neighbourhood Services to proceed with the consultation proposals made in this report and to implement the Spelthorne Borough Council Off-street Parking Places (Amendment no. 3) Order 2026, Council, 23 October 2025.

2. Authorise the Group Head Corporate Governance to publish all notices required to implement the Spelthorne Borough Council Off-street Parking Places (Amendment no. 3) Order 2026; and

3. Before the order is made, the Group Head Neighbourhood Services will report on the outcome of the consultation and any necessary proposed amendments to the relevant Committees (Environment and Sustainability, Corporate Policy and Resources and Council)

2.8 During the Council meeting, Members raised several concerns regarding the proposals to remove the nil tariff entirely from four car parks, and/or to reduce the tariff in other car parks from one hour to thirty minutes, particularly in relation to car parks located near parks and green spaces.

2.9 Members considered that such changes could have an adverse impact on residents' health and wellbeing. It was therefore confirmed that the consultation would proceed and that, following its completion, a further report would be presented setting out the results and any recommended amendments prior to final determination as set out in paragraph 2.7.

2.10 Local councils do not have a statutory duty to provide free parking. Car parks incur significant costs, including, maintenance, lighting, security, staffing, business rates, and long-term infrastructure upgrades. In a period of financial pressure on public services, councils should aim to make car parks financially sustainable rather than subsidising them through general domestic rates taxation. The income and expenditure Budget for all car parks excluding maintenance and back-office services is as below:

Year	Expenditure	Income
2025/2026	£1,174,900	£1,658,800
2026/2027	£1,168,600	£1,663,800

2.11 In a period of continued financial pressure on public services, it is necessary for parking services to operate on a financially sustainable basis rather than being subsidised through general Council funds. Achieving cost recovery may require increases in charges. While such increases may be unpopular, they reduce pressure on the wider Council budget and help protect frontline services. A sustainable pricing model also enables reinvestment in maintenance, technology, accessibility, and service improvements.

Results of the consultation

2.12 In accordance with statutory requirements, a Notice of Proposal was published in the **Surrey Advertiser** on 12 December 2025 and circulated to statutory consultees. No objections were received from statutory consultees during the consultation period.

2.13 The consultation opened on 12 December 2025 and, following an extended period for comments and objections, closed on 26 January 2026. Officers are required to consider all representations received before submitting the original or amended Notice of Proposal to Council in July 2026, seeking approval for the Order to be made.

2.14 A total of 180 responses were received from individual respondents. All 180 responses raised objections and/or comments on the proposals.

- 180 Responses from individual people
- 180 of those responding raised objections and comments.

2.15 The table below at 2.16 sets out the main reasons for residents objecting and/or commenting on the proposals.

2.16 Summary of Consultation Themes and Impacts

Theme	Key Issues Raised	Potential Impacts Identified
Clarity of information	Information in the Notice of Proposal was unclear, leading to misunderstanding about the change from pay-and-display to free parking with a 30-minute maximum wait time.	Confusion among the public about how the car parks would operate and what was being proposed.
Insufficient parking time (general use)	Thirty minutes is not enough time to shop, socialise, attend appointments, walk dogs, exercise, or spend time in green spaces.	Reduced use of town centre, parks, and community facilities; fewer visitors; reduced dwell time.
Impact on local businesses	Thirty minutes is not sufficient for dining in restaurants or visiting shops.	Loss of trade, reduced customer numbers, and negative economic impact on local businesses.
Families and children	Insufficient time for parents dropping off or collecting children, including school trips.	Increased stress for parents, potential safety concerns, and reduced use of facilities linked to schools and events.
Disabled users and accessibility	Disabled users require more time to park and manage wheelchairs or pushchairs.	Disproportionate impact on people with disabilities and carers; reduced accessibility and inclusion.
Health and wellbeing	Reduced time in parks and green spaces; concerns about mental health and obesity.	Potential negative effects on physical health, mental wellbeing, and community use of open spaces.
Community and faith groups	Church services and community activities would be affected.	Reduced attendance and disruption to regular community and faith-based events.
Council-run and local events	Impact on events in the Walled Garden promoted by the Council.	Reduced attendance, operational difficulties, and reputational impact for Council events.
On-street parking pressures	Reduced free parking time may lead to displacement onto surrounding streets.	Increased on-street congestion, parking conflicts, and enforcement pressures.

Theme	Key Issues Raised	Potential Impacts Identified
Parking permit charges	Objections to the increase in permit charges.	Financial impact on residents and permit holders; increased dissatisfaction with parking policies.
Conclusion		
2.17	The consultation responses demonstrate concerns from residents, businesses, community groups and other stakeholders regarding the proposed reduction or removal of the nil tariff period in car parks. This proposed change is also associated with the suggested introduction of a maximum thirty-minute wait limit in four car parks and the reduction from one hour to a thirty-minute free parking period in other first hour free car parks.	
2.18	While there is recognition of the Council's need to manage parking effectively and sustainably, the volume and consistency of objections indicate that the proposed changes may have unintended adverse impacts on car park users.	
2.19	Failure to proceed with the proposed changes to off-street parking tariffs and free parking periods would result in the loss of approximately £37k of forecast additional income. As this income is contingent on approval of the proposals, it has not been incorporated into the 2026/27 budget. So, failure to proceed with the proposed changes does not itself result in a budget pressure. However, in the context of the wider need to secure budget savings from the 2026/27 budget, not proceeding with these changes means that the Council would need to consider other ways to make savings and make up for the additional income that would be foregone if these changes were not made.	
2.20	While the Council has previously offered first hour free parking in eight of all its car parks, supported by revenue from fee-paying car parks, this practice is no longer sustainable due to rising operational costs, inflation, increased Business Rates, and staffing expenses.	
2.21	This bulk of this report was put forward to the Environment & Sustainability committee on 19 March 2026. At that meeting the Committee voted for the following recommended options to be put forward to CP&R committee on 20 April 2026. One of the options voted for (1b) was not the preferred option (1a) as detailed in this report at 3.1 .	

<i>THE SPELTHORNE BOROUGH COUNCIL OFF-STREET PARKING PLACES (AMENDMENT NO.3) ORDER 2026 The Committee resolved to recommend to Corporate Policy and Resources Committee the selected proposed variations to the Spelthorne Borough Council Off-Street Parking Places (Amendment No. 3) Order 2026:</i>
<i>1. Retain the current one-hour nil tariff period in car parks and make no changes to the order or the tariffs;</i>
<i>2. Removal of Abbey Drive, Dumsey Meadow, Old Bathing Station and Green Street from Schedule 1 chargeable tariffs, and addition of same car parks to Schedule 3 with 11 hours maximum stay.</i>
<i>3. Introduce a “no return within the same charging period” in all car parks listed in Appendix 2 Schedule 1.</i>

4. *Revise the Parking Order map for Spelthorne Leisure Centre, to accurately reflect the new layout as detailed in Appendix 3.*

5. *Introduce other minor amendments as detailed in Appendix 1 and 2 and Schedules 1, 2, and 3.*

6. *Change of the Staines-upon-Thames Short and Long Stay tariffs and introduction of reference to the charges being per parking session, as detailed in Appendix 2, Schedule 4 and Schedule 5.*

2.22 It is therefore appropriate for the Committee to consider these amendments proposed by E&S committee before any final determination is made, in accordance with the resolution of Council on 23 October 2025. A summary of proposals relative to this OSPPO that was put forward to E&S Committee on 19 March 2026 can also be found at **Appendix A**

3. Options appraisal and proposal

3.1 Options

- 1a. **Preferred...** Change of the nil charge first hour tariff to 30 minutes, and addition of a tariff point with charge for 1-hour stays, as detailed in **Appendix 2 Schedule 6** or
- 1b. Retain the current one-hour nil tariff period in car parks and make no changes to the order or the tariffs.
- 2a. Removal of Abbey Drive, Dumsey Meadow, Old Bathing Station and Green Street from **Schedule 1** chargeable tariffs, and addition of same car parks to **Schedule 3** Free parking places with 30 minutes maximum stay, as detailed in **Appendix 2, Schedule 1, Schedule 3, and Schedule 6** or
- 2b. **Preferred...** Removal of Abbey Drive, Dumsey Meadow, Old Bathing Station and Green Street from **Schedule 1** chargeable tariffs, and addition of same car parks to **Schedule 3** with 11 hours maximum stay. Most free parking locations operate with a maximum permitted stay of eleven hours, which accords with the arrangements applied to other free car parks specified within the Parking Order.
- 3a. **Preferred...** Introduce a “no return within the same charging period” in all car parks listed in **Appendix 2 Schedule 1**
- 3b. Do not introduce a “no return within the same charging period” in any of the car parks.
4. **Preferred...** Revise the Parking Order map for Spelthorne Leisure Centre, to accurately reflect the new layout, as detail in **Appendix 3**.
5. **Preferred...** Introduce other minor amendments as detailed in **Appendix 1 and 2 and schedules 1, 2 and 3**.
6. **Preferred...** Change of the Staines-upon-Thames Short and Long Stay tariffs and introduction of reference to the charges being per parking session, as detailed in **Appendix2, Schedule 4 and Schedule 5**.

3.2 Officer preferred recommendations

Item	Option	Rationale
1. Off-street free parking period	1a. Approve the change from a nil-charge first hour to a 30-minute free period, with the introduction of a new 1-hour paid tariff, as detailed in Appendix 2, Schedule 6.	Option 1a is recommended as it improves revenue yield from short-stay parking while retaining limited free provision.
2. Reclassification of specified car parks	2b. Remove Abbey Drive, Dumsey Meadow, Old Bathing Station and Green Street from Schedule 1 chargeable tariffs and add to Schedule 3 as free parking places with a maximum stay of 11 hours, in line with most other free parking locations, as detailed in Appendix 2, Schedules 1 and 3.	Option 2b is recommended as it provides consistency with other free parking locations and reduces maintenance, enforcement, and monitoring costs.
3. Return parking restriction	3a. Introduce a “no return within the same charging period” restriction in all car parks listed in Appendix 2, Schedule 1.	Prevents repeated short stays to avoid payment, protecting income and improving space availability.
4. Parking Order map amendment	4. Approve the revision of the Parking Order map for Spelthorne Leisure Centre to accurately reflect the revised layout in Appendix 3.	Ensures enforceability and reduces operational and legal risk.
5. Minor amendments	5. Approve the introduction of other minor amendments as detailed in Appendices 1 and 2 and Schedules 1, 2 and 3.	Improves clarity, consistency, and operational efficiency.
6. Staines-upon-Thames tariff structure	6. Approve changes to the Staines-upon-Thames Short and Long Stay tariffs and introduce explicit reference to charges being applied per parking session, as detailed in Appendix 2, Schedules 4 and 5.	Strengthens the tariff framework, improves transparency.

3.3 Options not recommended.

It was recommended to E&S committee that Options 1b, 2a, and 3b not be approved, as they fail to sufficiently address the principal concerns raised during the consultation process and do not adequately consider the requirement to ensure the financial sustainability of the Council’s car park services. The committee on 19 March 2026 agreed with officer recommendation for all proposed amendments excepting **1a** and instead voted for **1b** as follows: -

1b. Retain the current one-hour nil tariff period in car parks and make no changes to the order or the tariffs.

All other proposed and preferred options (2b, 3a, 4, 5 & 6) were agreed by E&S committee to put forward to CP&R committee on 20th April 2026.

4. Risk implications

4.1 Strategic Risks

There is a risk that the proposed amendments including the reduction or removal of the nil tariff period and increases in parking charges in particular **option 1a**, could be

perceived as discouraging access to town centres, parks, green spaces, and community facilities, potentially conflicting with the Council's Community priority. The risk mitigation was put forward and took account of consultation feedback and amending the original proposals. In response to concerns raised by Members, residents, businesses and car park users, the recommended option provides for a maximum stay of 11 hours rather than 30 minutes (**Recommendation 2b**), supporting accessibility while balancing financial objectives.

4.2 Operational Risks

Changes to tariffs and waiting restrictions may create initial confusion for users and increase enforcement demands. To mitigate this risk the Council will ensure that clear signage to reflect any updates will be displayed in all car parks affected by the proposed changes. Advance notification will also be provided on all social media platforms.

4.3 Financial Risks

Reduced Parking Usage: Increasing parking charges, especially at recreational venues, could lead to a decrease in usage as people seek alternative activities or locations.

Loss of Income: If the overall impact of the fee increases is negative, it could result in a net loss of approx. £37,300 (full year) income for the Council.

There is a risk that changes may not generate the projected income if usage reduces, or conversely, that retaining the one-hour nil tariff may limit cost recovery. To mitigate these risks the Council will continue with its monthly income monitoring which will help to determine if a recommendation that tariffs need to be adjusted is considered in future parking order reviews.

5. Financial implications

5.1 The Council's off-street car parks incur significant annual operating costs, including but not limited to: -

- Maintenance and repairs
- Lighting and utilities
- Staffing and enforcement
- Business rates
- Insurance
- IT systems and payment infrastructure
- Long-term capital maintenance and resurfacing

5.2 Parking income contributes toward the recovery of these costs and supports the financial sustainability of the service. These changes are necessary to address rising operational costs, maintain the self-funding nature of parking services, and invest in improvements to public car parks.

5.3 Increasing tariffs and reducing nil tariff periods would support cost recovery and reduce pressure on the wider Council budget. Conversely, retaining the one-hour free period in certain locations may reduce potential additional income but may help sustain town centre footfall and community use.

Removing car parks from chargeable to free car parks will reduce costs in terms of business rates and enforcement. A summary of the financial impacts is listed below.

Proposal	Estimated Financial Impact of preferred options (Annual)
Reduction of nil tariff to 30 minutes	Income from this reduction from 1 hour to 30 minutes (which is subject to usage patterns) has the potential to increase by £18k per year.
Removal of charging at four specified car parks	The saving on maintenance and business rates is anticipated to be approx. £2300 for a full year which is subject to the rates charges being removed. There will be other savings in terms of officer time in that officers will be able to enforce other areas more frequently.
Increase in Staines tariffs	Changes to the tariffs for both short and long stay car parks is anticipated to be £17k per year,
Introduction of no return rule	This is an operational control measure which has little or no benefit to income.

	Potential additional income/savings
Reduction to 30 minutes free parking	18,000
Removal of 4 parks from charged car parks to free car parks (restricted to 11 hours)	2300
Increase in Staines parking tariffs	17,000
Total	37,300

Legal comments

- 5.4 The relevant legal implications have been considered within the report. The proposals as set out are within the legal framework for changes to car parking orders.

Corporate implications

6. S151 Officer comments.

- 6.1 As stated in the report above, the proposals set out in this budget had not been built into the 2026-27 Budget. Depending on the options approved by Councillors approval of the options is likely to improve the Revenue Budget position of the Council by between £19k (the options mix supported by Environment and Sustainability Committee) and £37k (the full options set out in the report).

7. Monitoring Officer comments

- 7.1 The Monitoring Officer confirms that the relevant legal implications have been taken into account.

8. Procurement comments

- 8.1 There are no procurement implications arising directly from this report.

9. Equality and Diversity

- 9.1 The consultation responses identified concerns regarding the impact on:
- Disabled users requiring additional time to park and mobilise.
 - Older residents with reduced mobility.
- 9.2 Reducing the nil tariff period may have an impact on individuals who require longer parking durations for access and mobility reasons. However, it should be noted that all users displaying a **valid Blue Badge are entitled to an additional one hour free of charge**, in addition to their paid-for parking period, in accordance with the Council's current parking policy. This provision is intended to allow additional time for those with mobility needs and helps mitigate potential adverse impacts on disabled users.
- 9.3 While the proposed parking variations, including modest fee increases and a recreational fee structure change, aim to ensure the sustainability of public parking services, we are committed to maintaining accessibility for disabled users. There will be no reduction in the number of designated parking bays for disabled individuals. These changes are designed to be equitable inclusive, ensuring that everyone can benefit from our public parking services.
- 9.4 The proposals set out in this report have taken consultation feedback into consideration and seek to balance the Council's need for financial sustainability with the principles of accessibility, fairness, and inclusion. The impact of any approved changes will be monitored, and further review will be undertaken if disproportionate impacts on protected groups are identified. The summary of the Equality Impact assessment is at **Appendix B**.

10. Sustainability/Climate Change Implications

- 10.1 Parking policy can influence travel behaviour. Adjustments to tariffs may:
- Encourage shorter stays and higher turnover in town centres.
 - Influence modal shift where viable alternatives (walking, cycling, public transport) are available.
 - Reduce unnecessary long-duration parking in high-demand areas.

However, care must be taken to avoid displacement to on-street residential areas, which could increase congestion and emissions.

If implemented the proposals will be monitored to assess any unintended environmental impacts.

11. Other considerations

- 12.1 Public perception and stakeholder relationships remain important considerations.

Given the strength of feedback received, Members may wish to consider a balanced approach that differentiates between town centre commercial car parks and those adjacent to parks and community facilities. The options laid out in **Section 3** of this report and **Appendix A** will assist members to make fully informed decisions on the proposed amendments to: **The Spelthorne Borough Council Off-Street Parking Places (Amendment No.3) Order 2026**.

12. Timetable for implementation

Milestone	Date
Consultation completed	26 January 2026
Report to Environment and Sustainability Committee	19 March 2026
Consideration by Corporate Policy and Resources Committee	20 April 2026
Council decision	16 July 2026
Publication of Making Order Notice	Following Council approval
Implementation of amended tariffs and conditions	Within 4–6 weeks of Order being made

13. Contact

Jackie Taylor Group Head Neighbourhood Services 01784446418

Background papers:

[Issue details - The Spelthorne Borough Council \(Off-Street Parking Places Order\) Amendment No.3\) Order 2026 - Spelthorne Borough Council](#)

Appendices:

Appendix A Summary of options for proposed changes

Appendix B Summary Equality Impact Assessment

Appendix A

Option no.	Proposal	Car Park	Pros	Cons
1a	Remove 1-hour free parking as detailed in Schedule 6 and replace with a reduced period of 30 minutes free parking. Addition of a tariff point with charge for 1-hour stays.	Manor Park Shepperton Laleham Village Hall Thames Street Sunbury Orchard Meadow Sunbury Walled Garden Sunbury Shepperton Village Hall	Increases turnover in high demand locations. Generates extra income. Encourage shorter stays and availability of spaces. Aligns with objectives to manage parking demand more actively. Council will achieve the additional income anticipated from these measures	Opposed during public consultation Potential negative impact on footfall and local businesses Displacement of parking on to surrounding residential streets
1b	Do nothing and retain the current one-hour nil tariff period.	Manor Park Shepperton Laleham Village Hall Thames Street Sunbury Orchard Meadow Sunbury Walled Garden Sunbury Shepperton Village Hall	Reflects consultation feedback. Encourages longer dwell time. Avoids increased on-street parking	Lower income Reduced parking turnover Does not address the concerns about long-stay parking in high demand car parks Council will not achieve the additional income anticipated from these measures
2a	Remove car parks from chargeable tariffs Schedule 1 chargeable tariffs and addition of same car parks to Schedule 3 Free parking places with 30 minutes maximum stay.	Abbey Drive Green St Dumsey Meadow Old Bathing Station	Prevent all day or overnight parking. Improves space availability. Reduces enforcement complexity.	Loss of parking income Risk of long stay and/or commuter parking Potential for reduced spaces during busy periods

2b	Remove car parks from chargeable tariffs Schedule 1 chargeable tariffs and addition of same car parks to Schedule 3 Free parking places with 11 hours maximum stay.	Abbey Drive Green St Dumsey Meadow Old Bathing Station	Strongly supports access to parks and riverside locations. Encourages outdoor activity, health, and well-being. Responds positively to consultation responses. Reduces costs associated with managing the car park. Improves access for families.	Requires monitoring and enforcement.
3a	Introduce a “no return within the same charging period”.	Those listed in Schedule 1	Prevent repeated short stays to avoid charges. Improves space availability and turnover. Common parking control mechanism.	May inconvenience legitimate users making multiple visits.
3b	Do nothing and do not introduce a “no return within the same charging period”.	Those listed in Schedule 1	Simple to administer.	Enables avoidance of charges. Reduced effectiveness of parking controls Less efficient use of available spaces
4	Revise the Parking Order map for Spelthorne Leisure Centre to reflect the new layout.	Spelthorne LC (old) Eclipse LC (new)	Enables accuracy and legal clarity within the parking order. Refects current site layout and naming Reduces the risk of enforcement challenges. Administrative update with minimal impact on users	No direct operational or financial benefit Minor cost associated with updating documentation
5	Introduce other minor amendments	All schedules	Improves clarity, consistency, and accuracy of the parking order.	Limited standalone impact

		<p>Revise wording for new “pay on foot system” .</p> <p>Enable use of virtual contract permits.</p> <p>Remove reference to season ticket no longer available.</p> <p>Clarify FOC motorbike parking in designated bays only.</p> <p>Revise wording re members and staff parking scheme.</p> <p>Redraft reference to the “Traffic Management Act” 2004.</p> <p>Update the latest debt registration fee cost.</p> <p>Remove reference to max charge of £1000 for film companies.</p>	<p>Addresses anomalies and update references.</p> <p>Reduces risk of misinterpretation or enforcement issues.</p> <p>Supports effective administration of parking services</p>	
6	Increase/reduce parking tariffs	<p>Staines upon Thames short and long stay car parks and add “per parking session”.</p>	<p>Increased income Benchmarking evidenced the need to increase some tariffs and reduce others to be comparative with other regional car parks</p> <p>Generate increased income</p>	<p>Minor cost associated with updating documentation</p>

Appendix B

Equality Impact Assessment (Summary)

Spelthorne Borough Council (Off-Street Parking Places Order – Amendment No. 3) Order 2026

Purpose

This Equality Impact Assessment considers the potential effects of the proposed amendments to the Off-Street Parking Places Order and ensures compliance with the Public Sector Equality Duty under Section 149 of the Equality Act 2010.

Potential Impacts

Consultation responses identified potential impacts particularly in relation to:

- **Disability** – Disabled users may require additional time to park and access facilities.
- **Age** – Older residents may need longer parking durations due to reduced mobility.

Reducing the nil tariff period may disproportionately affect those who require longer access time.

Mitigation

- Blue Badge holders are entitled to an additional one-hour free parking over and above their paid-for period, in accordance with current Council policy.
- Accessible parking bays will continue to be provided in line with statutory requirements.
- Consultation feedback has been considered in shaping the final proposals.
- Impacts will be monitored following implementation, with further review undertaken if disproportionate effects are identified.

Conclusion

The Council has had due regard to its duties under the Equality Act 2010. While some impacts have been identified, mitigation measures are in place to reduce disadvantage. The proposals seek to balance financial sustainability with accessibility and inclusion.



Committee Report Checklist

Please submit the completed checklists with your report. If final draft report does not include all the information/sign offs required, your item will be delayed until the next meeting cycle.

Stage 1

Report checklist – responsibility of report owner

ITEM	Yes / No	Date
Councillor engagement / input from Chair prior to briefing		
Relevant Group Head review	Yes	16/3/2026
MAT+ review (to have been circulated at least 5 working days before Stage 2)		
This item is on the Forward Plan for the relevant committee	Yes	10/03/2026
	Reviewed by	
Finance comments (circulate to Finance)	Yes	25/03/2026
Risk comments (circulate to Lee O’Neil)	LO	01/04/26
Legal comments (circulate to Legal team)	LH	26/03/26
HR comments (if applicable)		

For reports with material financial or legal implications the author should engage with the respective teams at the outset and receive input to their reports prior to asking for MO or s151 comments.

Do not forward to stage 2 unless all the above have been completed.

Stage 2

Report checklist – responsibility of report owner

ITEM	Completed by	Date rec’d
Monitoring Officer commentary – at least 5 working days before MAT	L Heron	26/03/2026
S151 Officer commentary – at least 5 working days before MAT	T.Collier	20/03/2026
Commissioner engagement	J. Kingston	20/03/2026
	Delete as applicable:	No issues
Confirm final report cleared by MAT		

Corporate Policy and Resources Committee

Monday 20th April 2026

Title	Amendments to the Corporate Debt Policy and Financial Regulations
Purpose of the report	To make a decision and a recommendation
Report Author	Nina Diton Project Management Officer
Ward(s) Affected	All Wards
Exempt	No
Corporate Priority	Services Resilience
Recommendations	<p>The Committee is asked to:</p> <ol style="list-style-type: none"> 1. Approve the amendments to the Corporate Debt Policy required following the Southern Internal Audit Partnership (SIAP) audit conducted in October 25. 2. Approve the proposed amendments to the Financial Regulations (Part 4d of the Constitution) as detailed in Appendix A; and 3. Subject to the comments from the Committee System Working Group to recommend to Council to adopt the revised Financial Regulations and for the Constitution to be amended accordingly.
Reason for Recommendation	Internal Audit has highlighted some limitations within our current operational debt processes. To address these, a number of processes-driven updates are required to both the Corporate Debt Policy and the Financial Regulations. These refinements do not represent fundamental policy changes, but rather practical adjustments designed to strengthen financial controls, promote consistency across services, and further reduce risks associated with income recovery.

1. Executive summary of the report (*expand detail in Key Issues section below*)

What is the situation	Why we want to do something
<ul style="list-style-type: none"> Internal Audit findings showed some inconsistencies in credit note approval, reminder letter timeframes, hold case monitoring, debt ownership, payment plans, invoice cancellation documentation, and write-off- records. 	<ul style="list-style-type: none"> The Council must ensure strong internal controls to manage income effectively, reduce financial risk, and comply with audit expectations.
This is what we want to do about it	These are the next steps
<ul style="list-style-type: none"> Update the Corporate Debt Policy and Financial Regulations in line with audit recommendations and confirmed operational practice. 	<ul style="list-style-type: none"> Once approved by the Corporate Policy and Resources Committee (and, for the Financial Regulations, subsequently adopted by Council), the updated documents will be issued, staff guidance provided, and processes updated across all service areas.

2. Key issues

2.1 In 2025 an internal audit of sundry debt processes identified several areas requiring further improvement. While resourcing enhancements and improved engagement with services had strengthened overall performance certain financial control issues remained. Addressing these require formal amendments to both the Corporate Debt Policy and Financial Regulations.

2.2 **Appendix A Audit findings and proposed amendments** shows the full schedule of all recommended amendments mapped directly against each Internal Audit recommendation as required for the Financial Regulations. Appendix A shows the audit observation, previous wording, required change, and the revised policy or regulation text. **Appendix B Revised Sundry Debt Corporate Process map** illustrates the revised process for dealing with sundry debt as a result of the internal audit.

2.3 The principal changes to the **Financial Regulations**, are summarised below,

- Credit notes must now be approved by a manager who is independent from the original decision, with a clear record showing who approved what and why.
- Reminder letters for unpaid invoices will follow the same standard timescales everywhere based on a 28-day payment cycle.
- Debt reports will now clearly show how old debts are, including whether any are close to, or have reached, the legal time limit for recovery.

- Accounts that been put on hold (for example due to disputes) will be formally reviewed each month.
- Invoice requests must follow clearer steps, so it is easy to track who requested them and when they were confirmed.
- Responsibility for debts is now clearer: the service that raised the invoice keeps overall responsibility, supported by central teams who help recover the debt.
- Payment plans must now be based on what the customer can realistically afford, using the same affordability form across all services.
- Cancelled invoices must be properly justified, fully documented and recorded so the decision can be checked later.
- Write offs will use a standard digital form, with regular checks to make sure decisions are correct and consistent.

2.4 The revised **Corporate Revised Debt Policy** showing the amendments to the policy is provided in **Appendix C** with tracked changes in red. The principal changes are summarised below:

- Clear separation of roles so the same person cannot both make and approve decisions on things like credit notes or cancelling invoices with clear limits on who can approve what.
- Clear rules on reminder letters, making sure unpaid invoices are chased at the right times in line with the Council's Corporate Debt Policy.
- Standard debt reports that show exactly how old debts are, with a yearly check on debts that are close to (and past) the legal time limit for recovery.
- A formal process for accounts put on hold, so disputed or paused debts are reviewed regularly and not forgotten.
- Better tracking of invoice requests, with clear records showing who requested and invoice and when it was confirmed.
- Clear ownership of debt, so it is always clear which service is responsible for recovering the money, with support from central recovery team and finance.
- Clear rules for payment plans, including minimum payments and who must approve them, based on what people can realistically afford.
- Stronger controls over writing off debt, using standard digital forms and regular independent checks to make sure decisions are correct and consistent.

2.5 The revised financial regulations (Part4d) showing all amendments in track change (in red) accompanies this report in **Appendix D** Revised Part4d Financial Regulations.

3. Options appraisal and proposal

3.1 Option 1: Approve all amendments

This option involves approving: All amendments to the Financial Regulations (as set out in **Appendix A**) in principle, noting that **Financial Regulations** form part of the Constitution and adopting amendments to the Constitution is a function reserved to Council. Approving amendments to the Corporate Debt Policy as in **Appendix C**.

Corporate Debt Policy – Benefits

Strengthens operational controls through improved authorisation, monitoring, and documentation processes.

Reduces risk by addressing audit-identified gaps in areas such as credit notes, reminder letters, write-offs, debt ownership, and payment arrangements.

Creates consistent, standardised procedures across all services (e.g., payment plans, invoice cancellations, and suppression monitoring).

Enhances transparency and accountability through clearer audit trails and documented processes.

Corporate Debt Policy – Disbenefits

Approximately eight members of staff will require time to review and familiarise themselves with the amendments. As the changes mainly formalise and standardise existing practice, significant training is not expected. Limited adjustments to local workflows may be required to ensure alignment with the updated processes.

Financial Regulations – Benefits

Embeds strengthened financial governance controls into the Constitution, including segregation of duties, age-banded debt reporting, monitoring of held accounts, and defined approval thresholds.

Ensures corporate consistency by aligning Financial Regulations with the updated Corporate Debt Policy.

Improves audit compliance and provides stronger assurance through enhanced documentation and mandatory digital processes.

Financial Regulations – Disbenefits

As changes to the Constitution require additional approval stages (comments from Committee System Working Group → Council), implementation may take longer than the Corporate Debt Policy updates.

Approximately eight members of staff will require time to review and familiarise themselves with the amendments. As the changes mainly formalise and standardise existing practice, significant training is not expected. Limited adjustments to local workflows may be required to ensure alignment with the updated processes.

3.2 Option 2: Approve only some amendments

Benefits

Reduces the scale and pace of change for services.

Allows a phased approach if operational capacity is limited.

Disbenefits

Leaves some audit findings unresolved and associated risks unmitigated.

Maintains inconsistency in controls, monitoring processes, and approval practices.

Key requirements (e.g., audit trails, tracking controls, suppression monitoring) would remain incomplete across the organisation.

3.3 Option 3: Approve no amendments

Benefits

No immediate staff time or operational change required.

Existing processes and workflows remain unaffected.

Disbenefits

Audit findings remain unaddressed, and known weaknesses persist.

Income management, documentation standards, and compliance controls remain at risk.

Processes such as invoice cancellations, payment plans, or write-offs would continue.

4. Risk implications

- 4.1 **Operational Risk:** Without the changes, delays, errors, and inconsistent practices may continue across services **Mitigation:** Updated processes introduce clearer controls, standardised procedures, and defined monitoring requirements to reduce these risks.
- 4.2 **Financial Risk:** Weak segregation, incomplete tracking, and inadequate write-off controls increase the risk of income loss. **Mitigation:** Strengthened approval processes, improved audit trails, and digital forms provide better oversight and protect income.
- 4.3 **Compliance Risk:** Without amendments the Council would not be able to demonstrate assurance against the audit findings **Mitigation:** The proposed changes address the issues identified and help ensure alignment with required standards across all services.
- 4.4 **Reputational Risk:** Non-compliance with financial regulations may undermine governance credibility. **Mitigation:** More consistent, processes, better documentation, and greater transparency help reinforce assurance.
- 4.5 **Overall Mitigation:** The controls introduced through the amendments would collectively reduce operational, financial, compliance, and reputational risks for all services, improving governance assurance.

5. Financial implications

5.1 The strengthened controls for services (credit notes, write-offs, tracking, monitoring, reporting) ensure:

- Better protection of income streams
- Reduced risk of uncollected debt
- Improved accuracy of financial monitoring and reporting

5.2 All improvements relate to existing operational processes and do **not** create new budget pressures.

6. Legal comments

6.1 The Council is required to recover outstanding debt where possible. Subject to existing legislation, the method of enforcement is at the discretion of the Council. Up to date and robust policies and regulations assist the Council in discharging this responsibility.

6.2 Debt and treasury management are within the remit of the Corporate Policy and Resources Committee (Part 3(b) of the Constitution).

Corporate implications

7. Commissioners' comments

7.1 Commissioner's content with this report overall.

8. S151 Officer comments

8.1 The S151 Officer confirm that all financial implications have been taken into account and that the recommendations are fully funded from within the 2026-27 budget. The S151 Officer fully supports the proposed improvements.

9. Monitoring Officer comments

9.1 The Monitoring Officer confirms that the relevant legal implications have been taken into account.

10. Procurement comments

10.1 Not required — no procurement activity involved.

11. Equality and Diversity

11.1 No negative impact identified. Improved consistency may enhance fairness in the recovery process.

12. Sustainability/Climate Change Implications

12.1 No direct implications.

13. Other considerations

13.1 None identified

14. Timetable for implementation

14.1 Following approval by the Corporate Policy and Resources Committee, the amended Corporate Debt Policy will be issued and made live without delay.

14.2 As the Financial Regulations form part of the Council's Constitution, the proposed amendments have been circulated to the Committee System Working Group for consideration. Subject to their comments, the updated Financial Regulations will then be referred to Council for adoption.

15. Contact

15.1 Nina Diton n.diton@spelthorne.gov.uk / Sandy Muirhead
s.muirhead@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: There are none

Appendices: Attached

Appendix A - Audit findings and Financial Regulation Amendments

Appendix B Revised Sundry Debt Recovery Process - July 24 amended 2026

Appendix C Revised Corporate Debt Policy

Appendix D Revised Part 4d Financial Regulations (Amendments to Section D)

APPENDIX A

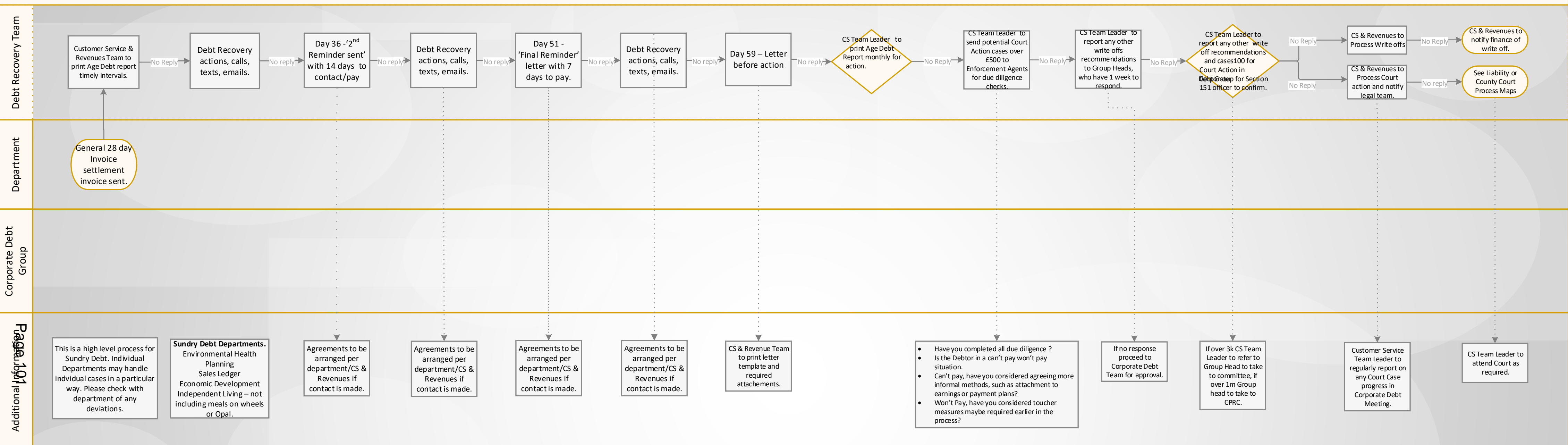
"This appendix provides a full crosswalk between each audit recommendation, the previous policy position, and the amended wording."

Audit Observation Corporate Debt report	Financial Regulations Section	Audit Report Comments	Financial Regulations Policy Text	Required Amendment/Action	Suggested Amendment
1. Credit Notes – Segregation of Duties and Approval Process	D22A - Income and Expenditure	No segregation of duties between raising invoices and issuing credit notes.	N/A	Add D22A – Credit Note & Invoice Cancellation Process (approval thresholds, justification, audit trail, independent approval).	D22 A Credit Note and Invoice Cancellation Process. All credit notes and invoice cancellations must follow the Council’s Scheme of Delegation, include justification and support documentation, and maintain an auditable trail. A Stage 2 validation step is mandatory for credit notes, requiring independent managerial approval.
2. Reminder Letters – Inconsistent Timeframes	New Part of D7	Reminder letters are not issued in line with the Corporate Debt Policy.	N/A	Add reminder-letter compliance clause after D7 (must follow Corporate Debt Policy timelines; require monitoring).	D7 Services must ensure that all reminder letters are issued in accordance with the timeframes set out in the Corporate Debt Policy, and must retain an auditable record confirming when each reminder was generated and sent.
3. Aged Debt Reporting – Lack of Analysis	New D19 A	Reports lack breakdowns by age and actionable insights.	N/A	Add D19A – Aged Debt Reporting Requirements (age bands, service review, annual statute-barred report).	D19 A Aged debt reports must include defined age bands and be reviewed by service areas prior to Corporate Debt Meetings, with Finance providing an annual summary of statute-barred or near-barred debt.
4. Hold Cases (Suppressions) – No Monitoring Process	New D14 A	No formal review process for accounts on hold.	N/A	Add D14A – Monitoring of Hold/Suppression Cases (monthly report; holds lifted promptly).	D14 A) A monthly review of all suppressed accounts must be carried out by the Debt Recovery Officer. Holds must be lifted promptly once disputes are resolved or balances cleared.
5. Invoice Requests – Risk of Loss During Manual Transfer	New D19B	No confirmation process for invoice requests.	N/A	Add D19B – Invoice Request Controls (log vs invoice reconciliation; confirmation to services).	D19 B) Customer Services maintain a centralised, auditable spreadsheet logging all credit note numbers against the relevant accounts, ensuring traceability and compliance with internal controls.
6. Debt Ownership – Lack of Clarity	New D7A	Unclear whether debt ownership lies with service areas or central recovery.	N/A	Add D7A – Debt Ownership Clarification (define service vs recovery responsibilities).	D7A Roles and responsibilities are defined within the Council’s Scheme of Delegation and operationalised through the Sundry Debt Corporate Debt Process Map (Appendix B), ensuring a structured and transparent approach to debt recovery and write-offs.
7. Payment Plans – No Defined Parameters	New D7B	No formal guidance on payment plans.	N/A	Add D7B – Payment Plan Governance (minimum payments, duration, approval levels).	D7B Payment plans must include defined timeframes, minimum instalments, and approval thresholds. These arrangements must be documented and reviewed quarterly by the Corporate Debt Group.

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Audit Observation Corporate Debt report	Financial Regulations Section	Audit Report Comments	Financial Regulations Policy Text	Required Amendment/Action	Suggested Amendment
8. Invoice Cancellations – No Documented Process	New D22A	No rules for invoice cancellations (credit notes).	N/A	Add D22A – Credit Note & Invoice Cancellation Process (approval thresholds, justification, audit trail, independent approval).	A) Credit Note and Invoice Cancellation Process. All credit notes and invoice cancellations must follow the Council's Scheme of Delegation, include justification and support documentation, and maintain an auditable trail. A Stage 2 validation step is mandatory for credit notes, requiring independent managerial approval.
9. Write-Offs – Incomplete Approval Records	D20-22	Inconsistencies in write-off documentation.	N/A	Add D22 – Write-off Documentation Standards (digital forms, mandatory fields, monthly QA checks).	<p>D20 All write-off requests are required to be submitted exclusively through the Council's secure digital workflow system. The form must include mandatory fields capturing justification, supporting documentation, and delegated authority approval. Automated routing will ensure segregation of duties and compliance with the Scheme of Delegation. In addition, a formal, independently verified reconciliation of all write-off transactions against authorised approval lists will be performed at defined intervals, with results reported to the Chief Finance Officer and Audit Committee to maintain transparency, accountability, and full audit traceability.</p> <p>D22 The Chief Finance Officer must maintain a comprehensive, up-to-date record of all income written off. In addition, an independent reconciliation of all write-off transactions against the approved authorisation lists will be conducted on a scheduled basis to ensure accuracy, compliance with delegated authority, and full audit traceability.</p>

Debt Recovery Process



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CORPORATE DEBT POLICY

Produced by:	Corporate Debt Group
Date Issued	April 2025
Agreed by Section 151 Officer	
Date of Next Review	April 2027

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1. Introduction

- 1.1 This policy details the Council's corporate approach to income collection and debt recovery. The delivery of this policy is guided by the Corporate Debt Group which is overseen by the s151 officer, which includes representatives from all income and debt collection services across the Council.
- 1.2 Spelthorne Borough Council is committed to serving the community by ensuring that all owed revenue is collected efficiently and effectively. This benefits all taxpayers and helps to prevent anyone from falling into debt. The Council achieves this by adopting the principles of early contact and consolidated action.
- 1.5 The Policy not only demonstrates but also supports the Government's agenda to provide solutions that have prevention and intervention at their core. This forms the foundation for public and service delivery to local people.

2. Scope

- 2.1 The Policy covers all debts owed to the Council including:
- **Business Rates:** Charges on non-domestic properties for local services.
 - **Business Improvement District (BID):** Extra charges on businesses for local projects.
 - **Council Tax:** Tax on residential properties for local services.
 - **Sundry Debts:** Various charges, including service fees and rents.
 - **Parking Fines:** Penalties for parking infringement.
 - **Housing Rents/Housing Benefit Overpayments:** Rent payments and overpaid benefits.
 - **Housing Options:** Debts for housing advice and assistance services.
 - **Independent Living:** Charges for services supporting independent living.

Please refer to Appendices 1-8 for the billing and recovery process

3. Purpose and Objective

- 3.1 The Council strives to be an outstanding organisation in terms of debt collection. The Policy outlines the use of best practice methods, providing high standards of customer service and treating all customers in a fair and inclusive manner. Special consideration is given to the needs of vulnerable customers. The Council ensures that individuals are treated consistently and fairly, and that their rights under the Data Protection Act 2018 and the Equality Act 2010 and Human Rights Act 1998 are protected.
- 3.2 When it comes to Council Tax, Business Rates, and Business Improvement District (BID) demand notices, the recovery process is set by law. Therefore, recovery notices are issued in line with legal timeframes.

- 3.3 In collecting income and recovering debt, the Council is committed to adhering to good practice. Good practice includes the recognition of fairness principles and that collection arrangements should be manageable and sustainable in the context of both the Council's duty to collect and a household's individual circumstances where e.g., clients are vulnerable.
- 3.4 Where possible, the Council aims to proactively prevent debt arising or escalating and will seek to keep customers informed so that they are fully aware of their obligations to the Council and are able to make good decisions that avoid additional costs and pressures. However, ultimately the Council will, where appropriate, escalate recovery actions to recover hard to collect debt. When it does so, it will maintain its fairness principles while applying the correct legal options.

4. Principles

The Policy is strengthened by the following principles:

- 4.1 **Minimising Debt:** The Council aims to reduce the levels of arrears, unmanageable debt provision, and write-offs. An open-minded and effective approach is taken, ensuring consistency in how customers in debt are dealt with across the Council. Support is provided to help customers manage their priority debts.
- 4.2 **Proactive Approach:** The Council ensures that customers are promptly made aware of their liabilities. It encourages customers to make contact at the earliest opportunity. This enables officers to consider customers' circumstances and their ability to pay, offering various methods of payment such as monthly, fortnightly, and weekly payment arrangements. These measures help customers manage their finances and could reduce hardship by agreeing to payment arrangements with more realistic repayment plans that assist the customer in managing their individual financial circumstances.
- 4.3 **Preventative Measures:** The Council advises on any housing assistance or taxation discounts, reliefs, and exemptions that customers may be entitled to. Assistance is provided with applications when appropriate, and customers are signposted to money advice, debt counselling, and other support services available through our partners and in the voluntary sector when additional assistance may be required.

5. Debt Priority

- 5.1 There is a hierarchy for claiming debts, with other authorities having priority over Council Tax arrears. It is not the size of the debt that makes it a priority, but the consequence of the action, such as rent arrears leading to the loss of a home. Payments on mortgages or secured loans and rent to banks and landlords therefore take priority over recovery of Council tax. The Council will follow the prioritisation requirements for areas of debt to be repaid as listed below:-

- Mortgage or Secured Loan
- Rent
- Council Tax
- Gas and Electricity
- Court Fines
- Maintenance arrears
- HMRC

6. Providing Support and Advice

- 6.1 The Council ensures that its staff are well-versed in dealing with customers and encourages customers to make contact as soon as they begin experiencing difficulties in paying their accounts.
- 6.2 The Council's bills and letters clearly show how the amount has been calculated, and every effort is made to ensure they are as easy to understand as possible.
- 6.3 The Council also advises individuals and businesses of the range of other discounts, reliefs, and reductions available at the time an account is issued and in subsequent communications.
- 6.4 During both face-to-face contact and telephone communications, officer's direct customers to where they can obtain further specialist advice on benefits and debt matters appropriate to their needs. Online signposting is also available to other agency websites, such as:
- Citizens Advice
 - Money Advice Service
 - Step Change
 - Armed Forces – Royal British Legion and/or SSAFA
 - and other appropriate support organisations (See Appendix 11)
- 6.5 Where appropriate, the Council works with other agencies to assist customers who are receiving help and liaises with them on a local level to solve issues and answer queries.
- 6.6 The Council keeps up to date with, and where possible, signs up to current best practice.

7. Customers with Multiple Debts

7.1 Addressing Multiple Debts:

The Policy of the Council promotes a flexible approach to working with customers to agree on the steps that need to be taken to help address multiple debts. In taking this approach, debt management will vary from debt to debt as different solutions will be required. Although the staff are not trained

debt counsellors, they will be able to signpost customers to help organisations detailed in Appendix 11.

7.2 Breathing Space Scheme

The Council adheres to the Breathing Space Scheme, which is a debt respite initiative launched on May 4, 2021. It provides essential protections for people residing in England and Wales who are struggling with debt.

7.3 Breathing Space is a period, during which an individual in problem debt is given a respite from creditor action for a period of 60 days. This allows space for the individual to fully engage with debt advice and seek a sustainable solution to their debts.

8. Assessing the Customer's Ability to Pay

8.1 During the recovery process, the Council will act in accordance with statutory regulations and advice issued by professional bodies such as Citizens Advice, Money Advice Service, and Money & Pensions Service.

8.2 In the recovery of multiple debts, the Council will strive to break the cycle of debt, particularly towards Council Tax and Business Rates, by encouraging payment for the current year. Subsequently, the Council will work with the customer to achieve an acceptable payment arrangement for recurring debts such as rent and Council Tax, aiming to reduce these within the customer's means, whilst ensuring a satisfactory level of repayment for the Council.

8.3 The Council will review payment arrangements to offer flexible options, including different payment dates and amounts, to assist those with irregular incomes.

8.4 The Council will strive to make payment arrangements with customers who are unable to settle their debt(s) in full. However, this may involve taking legal action against the customer where appropriate.

8.5 *Payment plans must include defined timeframes, minimum instalment amounts, and approval thresholds. These must be documented and reviewed quarterly by the Corporate Debt Group.*

9. Supporting Vulnerable Customers

9.1 The Council ensures that arrears are pursued in a timely manner with a firm but fair approach. It is the policy of the Council to strive for a balance between customer care and the responsibility of collecting tax efficiently. The Council endeavours to be responsive to individual circumstances wherever possible.

9.2 The Council recognises that certain individuals will require more sympathetic and sensitive treatment and that some customers do not pay their debts for a variety of reasons. This may include poverty or other financial hardship, which the Council will endeavour to balance against its duty to collect.

- 9.3 Spelthorne Borough Council Customer Services manages a hardship policy and fund, which is designed to assist those who currently believe they are unable to pay due to hardship. The fund considers a one-off payment to help reduce the level of arrears with the aim of educating the customer to pay their arrears through an agreed payment plan.
- 9.4 Vulnerability does not mean that a person will not be required to pay amounts they are legally obliged to pay. The cause of vulnerability may be temporary or permanent in nature, and the degree of vulnerability will vary widely.
- 9.5 While there are several characteristics which may cause an individual to be judged as vulnerable, the Council will consider each case on an individual basis, taking all relevant factors into account.
- 9.6 While there is no legal definition of a vulnerable person, generally persons considered vulnerable are likely to be those who have one or more of the following characteristics:
- Are elderly.
 - Appear to be physically or mentally ill, severely disabled or suffering mental confusion.
 - Have young children and severe social deprivation is evident.
 - Are heavily pregnant.
 - Are in mourning due to recent bereavement (of immediate family).
 - Have difficulty communicating e.g. due to profound deafness, blindness, or language difficulties.
 - Are in receipt of state benefits and/or on a low income and severe social deprivation is evident; and/or
 - Are suffering from long term sickness or serious illness including the terminally ill.
 - Are in a refuge.
 - For more information on assistance, please visit [Cost of living support - Spelthorne Borough Council](#) and Appendix 11.

10. Debt Recovery and processes

- 10.1 The Council ensures that customers are aware when enforcement action is imminent, giving them every opportunity to bring their account up to date. Enforcement action will be taken when communications are ignored.
- 10.2 The Council promptly contacts, in writing, any person or organisation that fails to make a payment. They will be informed that the payment is overdue and what the next course of action may be, within the appropriate legislative procedures such as timescales.
- 10.3 If the collection of the outstanding amount increases due to costs being incurred, the person(s) or organisation will be responsible for payment of all costs incurred, in addition to their outstanding balance.

10.4 A range of recovery options will be used to secure payment where agreed arrangements for Council Tax and Business rates have failed. This could include making an application for a liability order (an order made by the Magistrates Court which gives the Council the power to take further action to enforce payment). The following recovery measures could be considered:

- Attachment of Earnings Order
- Deductions from Benefits
- Enforcement Agent
- Charging Order
- Insolvency (Bankruptcy) action for debts over £5,000
- Securing the debt by obtaining a charging order against property, because of Bailiff action.

10.5 **Nonpayment**

The Council ensures timely debt recovery through a structured process. We start with an initial reminder notice, followed by a final notice if ignored. Whilst this process is undertaken, we will ensure we advise customers of any organisations which can assist them in managing their situation.

During this period, we proactively contact the debtor through various channels, such as phone calls, emails, and letters, to agree on payment terms.

If nonpayment persists, we may take enforcement actions like liability orders, attachment of earnings, deductions from benefits, or engaging enforcement agents.

For persistent cases, legal actions like bankruptcy proceedings or charging orders may be pursued. We also monitor and analyse drops in recovery rates due to factors like economic downturns, legislative changes, or increased financial hardship, adjusting strategies and providing targeted support as needed.

10.6 The Council will only employ certificated enforcement agents who comply with the Taking Control of Goods Regulations 2014 and will ensure they act to the standard Code of Practice with the authority which protects customers.

10.7 *To ensure accountability and consistency in recovery actions:*

- *Debt ownership resides with the originating service area, with operational support provided by the central recovery team.*
- *Roles and responsibilities are defined within the Council's Scheme of Delegation and operationalised through the Sundry Debt Corporate Debt Process Map (Appendix B), ensuring a structured and transparent approach to debt recovery and write-offs.*

- In accordance with delegated authority:
- The **Chief Finance Officer** may write off income or physical items up to a value of **£5,000**, or without limit where bankruptcy, liquidation, administration, or receivership proceedings have been instigated.
- **Group Heads, the Deputy Group Head for Customer Services, and the Deputy Chief Executive (Chief Finance Officer)** may write off individual debts up to the following thresholds:
 - **Council Tax: £5,000**
 - **Business Rates: £9,000**
 - **Housing Benefits: £5,000**
 - **Sales Ledger: £3,000**

An up-to-date record of all income written off is maintained by the Chief Finance Officer, with periodic independent reconciliation to ensure financial integrity and compliance. All write-off requests must be submitted through the Council's secure digital workflow system, which requires mandatory justification, supporting documentation, and delegated-authority approval. Automated routing ensures appropriate segregation of duties. Write-offs exceeding authorised limits must be referred to the Corporate Policy and Resources Committee for approval.

10.8 Invoice Cancellation (Credit Notes) Process

To ensure transparency and accountability in the cancellation of invoices:

- Invoice cancellations must be supported by appropriate justification, relevant documentation, and authorised approval in accordance with the Council's Scheme of Delegation.
- An audit trail is maintained for all cancellations. This includes attaching the cancellation request to the credit note and the associated sundry debt request case number.
- Customer Services maintain a centralised, auditable spreadsheet logging all credit note numbers against the relevant accounts, ensuring traceability and compliance with internal controls.

11. Evasion and Fraud

- 11.1 Evasion of payments owed to the Council reduces the financial resources available to the Council. This has a direct impact on all residents, businesses and other organisations that rely on Council services.
- 11.2 Evasion or fraud to avoid payment will not be tolerated. Where this is identified, in addition to enforcing payment, the Council will seek to impose such further penalties or sanctions as the law allows.
- 11.3 The Council will utilise third party partnerships, where referrals are made to them for Business Rates, Council Tax and Housing Overpayments for the investigation and detection of fraud.

12. Write-off Policy

- 12.1 The Council recognises that a small proportion of its overall debt may not be collectable due to matters beyond its control. Where a debt is assessed to be irrecoverable, it will be considered for write-off. However, the Council will seek to minimise the cost of write-offs by taking all appropriate action to recover what is due.
- 12.2 If a debt is written off but circumstances change, such debts will be considered for write-on and pursued to the full extent of the law. An example of when this may occur is if a debtor absconds with no forwarding address but is subsequently traced. A further example would be in insolvency cases where an individual/company goes bankrupt or is made insolvent, partial/full dividend(s) can be received many years later.
- 12.3 All officers, members and contractors will ensure that they have no work-related involvement with any account involving any relatives, friends, close associates, organisations of which they or their relatives are members or previous employees of. This includes making any decisions on how money owed to the Council is collected and recovered.
- 12.4 Please refer to the write-off policy in Appendix 9.

13. Right to Offset

- 13.1 The Council will transfer any credit that is on an account to pay off other debts that are owed to the Council. This is known as the right to “offset” or to combine accounts. Before using the right to offset, consideration should be given as to whether a customer is in financial difficulty and that they have enough money to cover reasonable day-to-day priority debts such as:

- Mortgage
- Rent
- Council Tax
- Food Bills

14. Monitoring Performance

- 14.1 The collection of Rent, Council Tax, Non-Domestic Rates and Sundry Debts are all under public scrutiny as Key Performance Indicators (KPIs). The efficiency of this policy and associated procedures will be monitored through the following KPIs, which are currently reported quarterly:
- % of Council Tax debt recovered
 - % of Non-domestic Rate debt recovered
 - % of BID debt recovered
 - % of Sundry debt recovered
 - % of Housing Benefit overpayment

14.2 Additional Areas of Risk

- **Economic Factors:** Economic downturns or recessions can lead to increased nonpayment rates as individuals and businesses face financial difficulties.
- **Legislative Changes:** Changes in laws or regulations can impact the Council's ability to recover debts effectively.
- **Operational Risks:** Inefficiencies or errors in the debt recovery process can lead to delays and reduced recovery rates.
- **Technological Risks:** Reliance on outdated or malfunctioning systems can hinder the debt recovery process.
- **Social Factors:** Increased financial hardship among residents due to rising living costs or unemployment can affect recovery rates.

15. Equality Duty

15.1 Under the Equality Act 2010, the Council, in exercising any of its functions, must have due regard to the need to:

- Eliminate unlawful discrimination
- Advance equality of opportunity
- Foster good relations between people of different backgrounds

16. Use of Data

16.1 The Council will collect and store personal data for the purposes of the effective billing, collection, and recovery of sums due. Data retained for this purpose will be processed in accordance with the Data Protection Act 2018 and will be always stored securely.

16.2 Data will be shared with agents or contractors appointed by the Council for the purposes of the billing, collection, and recovery of sums due. Data may also be shared within the Council or with external organisations where the law allows and where it is in the interests of the debtor or where it will prevent fraud or the unlawful evasion of payment of sums due.

17. Review

17.1 The implications and effectiveness of this policy will be constantly monitored and reviewed as necessary, to take account changes in legislation and best practice. A full review of this policy will be carried out every 3 years to ensure that any changes in legislation or best practice are included and updated. This will include consultation with service users, staff, internal and external. Any changes to policy will be subject to Committee approval. A full review of the Policy will be scheduled for 1st April 2027 from its introduction.

18. Customer Feedback and Complaints

Appendix 1

Spelthorne Borough Council is committed to providing a high-quality customer-focused service and welcome feedback about what we are doing well and where we can make improvements. You can contact the Council by

Visiting our website at <https://www.spelthorne.gov.uk/contact>

Telephone us on 01784 451499.

To make a complaint <https://www.spelthorne.gov.uk/article/16560/Comments-compliments-and-complaints>

Appendices

Appendix 1 - Business Rates/BID Recovery

Annually, the bills for Business Rates and any BIDs operating within the Borough are issued. The responsibility for issuing these bills and the collection and recovery of debt is held by the Chief Finance Officer. Payments for Business Rates and BID levies are to be made in accordance with legislative requirements.

The Business Rates bill provides details of when instalments are due and the methods available for payment. In contrast, the BID levy payment is payable in a single instalment. If an instalment for either Business Rates or BID is not paid on time, a reminder will be issued following non-payment.

Only one reminder notice will be issued for Business Rate bills and those of BID; a second reminder is only issued in the event of non-compliance with the first reminder and again fallen behind; any further default will result in the issuance of a final notice.

A final notice withdraws the customer's right to pay Business Rates by instalments and requires full payment of the outstanding amount within seven days. The enforcement action to be taken for BID mirrors that of Business Rates, and therefore the final notice issued will provide the ratepayer with their final opportunity to settle the outstanding levy payment. If the Business Rate account or the BID levy payment remains unsettled, the Council will issue a summons notice to the Magistrates Court for an application to apply for a liability order to be granted.

The Liability Order enables the Council to consider other enforcement remedies, for example, instructing enforcement agents to collect the outstanding balance of debt.

If an appeal is made against the rateable value to the independent Valuation Officer, payment must still be made against both the Business Rates and the BID account until the appeal is settled.

Enforcement agents will be appointed based on the contracts procured in line with contract procedure rules. Performance and contract management for enforcement agents will be in place to ensure compliance with codes of conduct and good practice. The services of enforcement agents will comply with the Taking Control of Goods: National Standards, issued by the Ministry of Justice.

Appendix 2 - Council Tax Recovery

The responsibility for issuing Council tax bills, as well as the collection and recovery of debt, is held by the Council's Chief Finance Officer.

A Council tax bill is issued by the Council, providing instructions on when instalments are due. The preferred method of payment for Council tax is direct debit, with flexibility available on the collection date. Unless paid by Direct Debit, the first instalment is due by the first of the month.

If an overdue instalment is not paid within seven days of the due date, a reminder notice will be issued. Non-compliance with the first reminder will result in the issuance of a final notice. A final notice withdraws the customer's right to pay Council Tax by instalments and requires full payment of the outstanding amount within seven days.

Within a Council tax year (April – March), a maximum of two reminders will be issued for late payment of instalments, a second reminder will be issued if the first has been paid and payments have again fallen behind.

On the third occasion that an instalment is paid late, a final notice will be issued. This notice will request full payment of the balance, which must be paid within seven days of the final notice being issued.

If payment is not received within 14 days after the first or second reminder notice, or within seven days of a final notice, the Council will take legal action, and a summons will be issued against the customer. All costs incurred are recoverable by the Council and will be added to the amount due when the summons is issued.

The Council reserves the right to take recovery action where a customer does not pay and does not indicate that they are having trouble paying. Customers are informed of their entitlement to housing and Council tax support and other income-related benefits, as well as discounts, reliefs, and exemptions.

The ability to refer debt to an enforcement agent is an important tool in the recovery process. The Council appreciates the sensitivity attached to the use of enforcement agents and will only use them if deemed necessary. The Council will seek to use enforcement agents only where it has been determined that this is the most effective collection method for the debt in question.

Enforcement agents will be appointed based on contracts procured in line with contract procedure rules. Performance and contract management for enforcement agents will be in place to ensure compliance with codes of conduct and good practice. The services of enforcement agents will comply with the Taking Control of Goods: National Standards, issued by the Ministry of Justice.

Appendix 3 - Sundry Debts Recovery

The responsibility for raising sundry debts against a debtor account is established by Customer Services. Each service will request an invoice to be raised via a 'Finance Sundry Debt' form, which can be found on Spelnet via online forms.

The Council's Chief Finance Officer holds the overall responsibility for the collection and recovery of sundry debt. Customer Services ensures that assistance and guidance are provided to the Group Heads and senior managers for each service in recovering the debt due to their service, where appropriate.

Spelthorne Borough Council endeavours to obtain payment in advance or at the time when a service is delivered, wherever possible. The Council will only raise a debtor's invoice where payment in advance for a service is inappropriate. All sundry debtor invoices must be raised using the corporate sundry debtor's system.

The general settlement terms for sundry debtors are 28 days from the date of the invoice. On odd occasions, other dates are specified by the individual service areas. After 28 days, the Council will make every effort to contact the debtors to reach settlement.

A reminder notice will be issued to the debtor, 36 days after the invoice date, requiring the account to be brought up to date within fourteen days. A final reminder notice will be issued to the debtor, 51 days after the invoice date, requiring the account to be brought up to date within seven days. Some service areas fall within vulnerable groups; in these cases, no further notices are issued.

A letter before action will be issued after a further period of 8 days, giving a further seven days for the account to be brought up to date.

An arrears analysis report is run for all outstanding debts that are at final notice letter stage, any below £500 is written off in accordance with the Council's write-off Policy. The report is produced monthly and forwarded to the Debt Recovery Manager for them to liaise with Group Heads on further action that should be taken and to ensure due diligence has been carried out.

Due Diligence, monitoring of hold cases (Suppressions)

To ensure timely resolution and prevent unnecessary delays in debt recovery:

- **A monthly review report of all suppressed (on-hold) accounts is generated and reviewed by the Debt Recovery Officer.**
- **Holds must be lifted promptly once disputes are resolved or balances are cleared.**

This process ensures that suppressed accounts are actively monitored and do not remain unresolved beyond necessary timeframes.

Credit Note Authorisation Process, all credit notes follow the same authorisation thresholds as write-offs, in accordance with the Council's Financial Regulations.

A Stage 2 validation step is included within the electronic credit note request form. This requires approval from a departmental line manager, regardless of the credit note amount, to ensure segregation of duties and independent scrutiny.

Credit notes exceeding £500 must be authorised by a manager or team leader who was not involved in the original invoice creation.

These measures are embedded into the Council's financial control framework and apply to all departments submitting credit note requests.

The Council's Corporate Debt Group will receive regular aged debtor reports and monitor performance. Aged debt reports must include defined age bands and be reviewed by services prior to Corporate Debt Meetings, with Finance providing an annual summary of statute-barred or near-barred debt.

The Councils legal team will receive regular updates on decisions made.

The recovery options are as follows:

- Referral to the Council's approved debt collection agent (where additional costs may be incurred)
- A Collection Agency
- County Court Action seeking a Judgement (e.g. Attachment of Earnings)
- Refer to the Council's own Legal Team.

The list is not exhaustive, and the Council will seek to recover outstanding debt via the most practical and cost-effective manner. Where debt proves uneconomical to collect or the debtors have absconded, consideration will be given to writing off the debt in accordance with the Council's write-off Policy.

Appendix 4 - Policies Specific to Unpaid Parking Penalties

Spelthorne Borough Council is committed to controlling and regulating parking in its off-street car parks. This enforcement is necessary to minimize dangerous and inconsiderate parking and ensure that relevant charges for parking use are paid. The Council employs its own Civil Enforcement Officers and may also hire temporary Civil Enforcement Officers under agency agreements in extreme circumstances.

When a Civil Enforcement Officer discovers a car parked in contravention of parking controls, they are required to issue a Penalty Charge Notice (PCN).

After a PCN has been issued, if it is not cancelled by the Council within the appeals process or paid within statutory timescales, parking law allows for the unpaid penalty charge to be referred to the Traffic Enforcement Centre (TEC) for registration of the civil debt and application for an Order for Recovery. At this stage, the unpaid penalty attracts additional charges, as set by the Traffic Enforcement Centre itself. If the debt remains unpaid after the Order is served, the Authority can request the Traffic Enforcement Centre to prepare a Warrant of Execution.

Appendix 1

To ensure appropriate arrangements for debt recovery, the order/warrant will be referred to a bailiff company for execution.

This policy aims to ensure that the arrangements and activities related to debt recovery:

- Are applied in a fair and equitable manner.
- Comply with the law, guidance, and local policies, including the Enforcement Concordat, the Council's Finance Procedure Rules, and the Corporate Debt Policy.
- Maintain public confidence in parking enforcement processes.
- Encourage prompt payment of otherwise undisputed parking penalties.

Key Points:

Bailiff Companies: It is common practice to appoint one or more bailiff companies specializing in the recovery of traffic and parking enforcement debts. The Council incurs no direct cost for these services, as the charges are passed on to the debtor, regulated by law.

Working Relationship with Bailiffs: The Council maintains a good working relationship and communication with bailiffs to ensure efficient execution of warrants.

Debt Recovery Actions: If the debt is not settled through cash or similar payment, bailiff action may include removing and selling goods up to the value of the outstanding debt and subsequent bailiff charges. Vehicle clamping or removal is considered only for vehicle owners with multiple outstanding debts, avoiding cases where the vehicle is essential for the debtor's employment.

Debtor Circumstances: Bailiffs have discretion to set up payment plans based on proven claims of financial hardship. Individual debtor circumstances are considered, supported by documentary information (e.g., proof of bankruptcy).

New Information during Execution: If new information (e.g., a new address for the debtor) arises during warrant execution, the bailiff company refers the case back to Parking Services for review before further debt recovery action.

Warrants: that the bailiff company is unable to recover are classified as "no trace" or "executable" and are returned to the Council for further consideration. It is anticipated that unless special circumstances apply, in most cases, they will follow the course of item iii (being "written off" as unrecoverable).

The debt recovery process will be monitored and reviewed to ensure that the bailiff's performance is consistent within the industry. Benchmarking will be sought between other similar Surrey Boroughs and Districts to ensure performance and quality. A recovery rate of approximately 25% is expected based on the payment rate of the number of debts referred per annum.

Complaints against bailiffs will be dealt with in accordance with the Council's customer service standards and complaints procedures.

The Council's Corporate Debt Group will receive regular aged debtor reports and monitor performance.

Appendix 5 - Housing Benefits Overpayment Recovery

Policies Pertaining to the Recovery of Benefit Overpayments

Overpayments of Housing Benefit and Council Tax Benefit/Support are identified through a change in benefit entitlement. They are defined as an amount of benefit that has been awarded but for which there is no or reduced entitlement under the regulations.

The Council maintains that preventing overpayment debt is preferable to curing it. Therefore, measures will be implemented to prevent overpayments from occurring. These include:

- Utilising a well-structured application form to gather accurate information, which includes a clear statement that failure to provide correct information could lead to overpayments of benefit and potential prosecution.
- Ensuring all benefit notification letters and relevant correspondence inform the individuals affected of their responsibility to notify the Council of any change in circumstances that may affect their claim.

Appendix 1

- Using reasonable evidence to support claims and changes in circumstances, for example: - conducting checks for identity - residency and National Insurance numbers.
- Implementing targeted interventions that are risk profiled where possible and suitable.
- Ensuring all staff dealing with overpayments receive appropriate training with comprehensive access to overpayment recovery procedures and an understanding of issues relating to debt.
- Providing fraud awareness training for staff.
- Employing and developing information technology to automate the identification and recovery of overpayments and to reduce error:
- Including publicity material and information on responsibilities for reporting changes in circumstances.
- Ensuring that benefit awards are suspended and terminated in accordance with current regulations and case law.
- Handling reported changes in circumstances as swiftly as possible.
- Participating in various data matching exercises with external agencies and cross-matching against internal databases whilst adhering to principles laid down by the Data Protection Regulations 2018, Data Protection and Human Rights Act 1998.

The Council aims to calculate overpayments swiftly and accurately and to provide quality information to the individuals affected, ensuring it recovers the correct amount. To achieve this, the Council will:

Invite claimants to apply for underlying entitlement.

Calculate the overpayment, on average, within 14 days of receiving all necessary information.

Use the correct effective date of change to determine the correct overpayment period.

Consider uncashed or returned cheques or underpayment of benefit.

The Council aims to ensure the correct classification of overpayments for subsidy purposes is always used to prevent loss of subsidy.

- All necessary invoices, reminders and pre-debt collector stage letters/Financial Enquiry will be raised according to recovery stage, using the Housing Benefits and Debt Management system.
- Invoices will only be issued when the overpayment cannot be recovered from benefits.
- The Council has a responsibility to act in accordance with all relevant legislation and regulations when recovering overpayments.
Social Security Administration Act 1992.
Social Security Administration Act 1992 (Housing Benefit).
Social Security Administration Act 1992 (Council Tax Benefit).

Social Security Contributions and Benefits Act 1992.

The Housing Benefit (General) Regulations 1987 - and subsequent varying regulations.

The Council Tax Benefit (General) Regulations 1992 - and subsequent varying regulations.

Housing Benefit (Recovery of Overpayments) Regulations 1997.

Social Security (Overpayment and Recovery) Regulations 2013.

The Housing Benefit and Council Tax Benefit (Decisions and Appeals and Discretionary Financial Assistance) (Consequential Amendments and Revocations) Regulations 2001.

Welfare Reform Act 2012. Housing Benefit Overpayment Guide 2015.

Where the Council decides an overpayment is recoverable, the most suitable method of recovery will be considered in all cases and arrangements will follow the general hierarchy below:

- From arrears of Housing Benefit.
- On-going deductions from further payments of continuing Housing Benefit. This will include payments that are sent directly to the Landlord on the claimant's behalf. The Council will base recovery rates as laid down by regulation and will initially seek to recover the standard weekly deduction calculated, unless the health or financial circumstances of the claimant suggest a more suitable rate should be used. In all cases, however, a minimum amount of fifty pence per week Housing Benefit must remain in payment. The debtor has the right of appeal against the rate of recovery chosen by the Council.
- Overpayments of recoverable Council Tax Benefit/Support, apart from in exceptional circumstances, will result in an adjustment being made to the respective Council Tax account for the appropriate year. An amended bill will be issued, and any unpaid monies will be subject to recovery action under the Council Tax regulations.
- By deductions from certain Department of Work and Pensions benefits. Section 75(1) of the Social Security Administration Act 1992 allows recovery of overpaid Housing Benefit by deduction from prescribed benefits which are defined in Regulation 105 of the Housing Benefit Regulations 2006.
- As of 8 April 2013, Sections 105 and 106 of the Welfare Reform Act 2012 amends the Social Security Administration Act 1992 allows the Council to recover by attachment of earnings without court authority. Known as Direct Earnings Attachments (DEA), their primary purpose is to enforce recovery where a liable person is in Pay as You Earn (PAYE) employment.
- Referral to an external debt collection agency (after all the above avenues of recovery are considered and/or exhausted).
- In extreme circumstances Civil Proceedings Application to the County Court for a County Court Judgement (after all avenues of recovery are considered and/or exhausted). With a County Court Judgement (CCJ) further recovery action can be taken, e.g., application to the High Court to instruct High Court enforcement agents.

The Housing Benefit (Recovery of Overpayments) Regulations 1997 provide for the opportunity if deemed appropriate for the Council to recover overpayments from landlords, when the landlord has been classed as responsible from their current tenants' entitlement. The Council will, in appropriate circumstances, reduce payments to landlords for their current tenants to recover overpayments that arose for former tenants, known as 'blameless tenant,' recovery. It will take this action when the original tenant has no continuing Housing Benefit entitlement.

We will ensure recovery is applied in a fair and equitable way. We will also set up payment plans wherever possible to encourage payment of debts considering the claimant's financial circumstances to try and prevent financial hardship but considering the need to clear any outstanding debt.

Only if after all attempts at recovering the overpayment have become exhausted and there is no hope of recovery, or there are qualifying circumstances, shall the debt be recommended for write-off.

Appendix 6 - Policies Specific to Recovery of Housing Options

SPELTHORNE RENT ASSURE CURRENT ARREARS PROCESS

The Rent Assure Scheme equips the Council with a pathway for preventing homelessness by leveraging the private rented sector to secure tenancies. This approach minimises reliance on long-term bed and breakfast placements or other temporary accommodations. Additionally, it empowers us to fulfil our primary duty in addressing homelessness by extending a Private Rented Sector Offer (PRSO).

Our Rent Assure Team orchestrates two-year assured shorthold tenancies. Beforehand, we conduct an income and expenditure assessment to ensure that incoming tenants can comfortably afford the properties. Tenants are informed of their contribution toward the overall rent cost.

The Tenancy Sustainment Officer oversees the weekly management of accounts. If any arrears accumulate, a series of letters are dispatched. We establish repayment plans to clear the arrears, along with provisions for ongoing rent costs.

Appendix 1

Should a tenant default on the repayment plan, further letters are dispatched. Ultimately, if payment remains outstanding, an eviction notice is issued through the Council's Legal Department.

Post-eviction, if we possess a forwarding address, we initiate additional recovery measures. However, if no further payment is received despite follow-up letters, cases with a debt exceeding £100 are referred to Customer Services for further action. Debts below £100 are written off. If no forwarding address is available, and it is economically viable, Customer Services endeavours to obtain one. If unsuccessful, the debt is written off.

For tenants who naturally exit the scheme at the end of the two-year period and have a forwarding address, we commence recovery action through a series of letters addressing any outstanding arrears. Former tenants are encouraged to establish payment plans for gradual clearance if immediate settlement is unfeasible. Non-compliance leads to referral to Customer Services for additional recovery action. In cases where no forwarding address is known, Customer Services attempts to locate a current address. Successful identification allows the recovery process to continue. Otherwise, the debt is written off.

BED AND BREAKFAST & HOME PREVENTION LOAN ARREARS PROCEDURE

This segment of the Council's sundry debt pertains to homeless applicants placed in emergency accommodation or those assisted with homelessness prevention through loans. These services cater to a diverse age group, including family units and single applicants. Some individuals face vulnerabilities and lead transient lifestyles, impacting debt recovery efforts.

For current emergency accommodation placements, the Income Recovery Officer closely monitors recovery actions on a weekly basis. We dispatch varying levels of arrears letters each week to encourage payment and facilitate payment plans covering weekly charges and a portion toward arrears. If an applicant persists in non-payment, considering possible vulnerabilities, we request their departure from the accommodation unless payment is received.

Former applicants who voluntarily or by prior arrangement leave emergency accommodation trigger recovery actions for any outstanding arrears. When an address is known, we send a series of letters detailing the owed amount and establish

a repayment plan if immediate clearance isn't feasible. Non-compliance with the repayment plan results in transferring cases to Customer Services for further action if the debt exceeds £100. Debts below £100 are considered for write-off.

For cases without a current address and debts exceeding £100 (where economically viable), Customer Services endeavours to trace a forwarding address. If unsuccessful, the debt is written off.

Home Prevention Loans, typically granted to prevent homelessness from existing private rental properties, involve a one-off sum. Since there is no ongoing debt, we maintain knowledge of the applicant's address. At the loan arrangement stage, the Housing Options Officer discusses a repayment plan with the applicant, and a suitable payment method is established. The Income Recovery Officer monitors monthly repayments, often received from the applicant. Arrears letters are dispatched, and non-compliance prompts referral to Customer Services for further recovery action.

SRA ARREARS PROCESS

1. **Application Acceptance and Tenancy Setup:**

An applicant is accepted onto the scheme, and tenancy details are established.

2. **Tenancy Creation:**

Once the SLN (Scheme Lease Number) is generated, a rent book is printed, and the tenancy is officially created.

3. **Rent Spreadsheet Update:**

The rent spreadsheet is updated with the following information:

Client name

Address

SLN

Customer contribution

Top-up amount

Expected HB/UC (Housing Benefit/Universal Credit) amount (calculated using the HB/UC calculator)

Full rent amount

4. **Account Reconciliation and Monitoring:**

After reconciling the account to determine the true debt figure, account monitoring begins.

5. **Level 1 Arrears Letter:**

If a tenant starts accruing arrears within 5 weeks of placement, a Level 1 Arrears Letter is sent from Integra.

The letter alerts the tenant about their arrears and requests that they bring their account up to date promptly, maintaining regular payments.

6. **Face-to-Face Meeting and Documentation:**

Where appropriate, arrange a face-to-face meeting with the tenant.

Request details of income and expenditure, including current bank statements.

This helps confirm reasonable expenditure and informs a suitable payment plan.

7. **Level 2 Arrears Letter:**

Appendix 1

If there is no contact or payments from the tenant, a Level 2 Arrears Letter is sent 7 days after the Level 1 letter.

The letter expresses concern about ongoing arrears and urges immediate action to bring the account up to date.

8. Direct Payment Request:

If a tenant is 8 weeks or more in arrears, direct payment can be requested from the housing benefit team or via the UC47 form for Universal Credit.

9. Level 3 Arrears Letter:

If there is still no contact or payments from the tenant, a Level 3 Arrears Letter is sent 7 days after the Level 2 letter.

This letter emphasizes the risk of losing accommodation and requests that the tenant contact the SRA team promptly with a proposal for resolving the arrears.

Appendix 7 - Policies Specific to Recovery of Independent living

Spelthorne Borough Council extends several discretionary services. While these services fall under the discretionary category, they play a crucial role in our broader community offerings. They are specifically designed for our most vulnerable residents, including the elderly, frail individuals with multiple long-term conditions, those with learning disabilities, and those dealing with mental health issues. Consequently, effective debt recovery is of utmost importance to our service. We approach this task with empathy, considering the unique needs of our service users.

Several of our services necessitate upfront payments, such as community centre memberships, centre meals, and activities. As a result, the need for recovery is infrequent.

The primary sources of debts are our Meals on Wheels, and the OPAL High Needs group. To ensure effective debt recovery, we adhere to the following principles:

- Equitable Recovery: We apply recovery measures fairly and equitably.
- Telephone Calls: The administration lead for each service area initiates telephone calls to collect debts. These calls are based on evidence related to:
 - Client Capacity
 - Vulnerability
 - Impact of Non-Payment and Service Removal
- Direct Debit: We encourage clients to sign up for Direct Debit to facilitate ongoing debt management and recovery.

Additional considerations include:

- Invoice Monitoring: The administration lead monitors unpaid invoices. This responsibility lies outside the scope of Sundry Debts, as monthly arrears analysis reports are provided by The Customer Service & Revenues Team.
- Proactive Approach: Budget holders, specifically the Group Head, play a pivotal role in ensuring a proactive approach to revenue collection owed to the Council for services rendered. Monitoring non-payment of invoices is essential before the monthly arrears analysis report from Customer Services.
- Payment Plans: We establish payment plans to encourage debt repayment, especially in cases of financial hardship or impact. Each debtor's unique circumstances are considered.
- Benchmarking: We seek benchmarking data from similar Surrey Boroughs and Districts to ensure performance and quality.
- Regular aged debtor reports are reviewed by the Council's Corporate Debt Group, monitoring performance.

Appendix 8 - Code of Practice for Enforcement Agents

Below is the Code of Practice detailing the practices to be followed by any Enforcement Agent acting for and on behalf of Spelthorne Borough Council

What happens if an enforcement agent is sent to my home?

As part of a liability order, enforcement agents may visit your home to seize your personal belongings if you are unable to establish a repayment plan.

The enforcement process involves three stages:

1. Compliance Stage:

We send a written request for payment of your outstanding Council Tax and compliance fees in full or to arrange a payment plan.

This official notice informs you that an enforcement agent will visit your property within seven days if you do not respond.

A fee of £75 is added to your account balance during the compliance stage. Whenever a liability order is transferred from us to an enforcement agent, a £75 fee is charged to your account.

2. Enforcement Stage:

An enforcement agent visits your property and takes control of your goods if you do not contact them within 7 days to pay the account in full or arrange a payment plan.

If you set up a payment plan, the enforcement agent may allow the goods to remain in your property under a Controlled Goods Agreement. This agreement lists all items. Failure to honour the payment plan may result in the removal of items.

If you neither pay in full nor agree to a payment plan for the outstanding balance, the enforcement agent can seize goods up to the value of the debt. This process is known as "Taking Control of Goods." The value of the goods may not match what you paid, leaving a remaining balance.

An enforcement fee of £235 is added to your account balance when the enforcement agent first visits your property. If you owe more than £1,500, an additional 7.5% of the total amount above £1,500, along with the enforcement fee, is added.

Appendix 1

3. Sale or Disposal Stage:

An enforcement agent attends your property to remove goods for auction or prepare them for sale, especially if the sale occurs at your home.

A fee of £110 is added to your account during the sale or disposal stage. For multiple liability orders, only one enforcement stage fee is charged.

If your debt exceeds £1,500, an extra 7.5% of the total amount above £1,500, along with the enforcement fee, is added.

In addition to the above fees, enforcement agents may recover reasonable associated costs, such as storage fees after goods removal, locksmith fees, and auctioneer fees.

Important Note: Once your account is assigned to an enforcement agent, all outstanding balances and fees must be paid directly to the enforcement agent, not the Council.

If you miss an enforcement agent visit, their contact details will be left, and you should promptly reach out to arrange payment or schedule another visit.

Debt Unable to Be Recovered: The Council strives to minimize write-off costs for local Council taxpayers. We take all necessary actions to recover owed amounts. Reasonable and economical debt recovery measures are pursued before considering debt write-off. The degree of enforcement depends on the debt amount, type, and the debtor's personal circumstances, following the Council's Scheme of Delegation.

Appendix 9 - Write-Off Policy

Review of Irrecoverable Debts

Our financial regulations govern all aspects of our financial management, including the process for writing off debts. Despite our robust debt recovery procedures, there are instances where pursuing certain debts becomes impractical or cost ineffective. Various reasons contribute to this situation:

- The outstanding amount falls below an agreed lower limit of £100.
- The customer has relocated, and we cannot trace their new address.
- The customer has passed away, and their estate lacks sufficient funds to settle the debt.
- The customer is bankrupt, or the company is insolvent (although we do submit claims in bankruptcy, and any payments received from the receiver are credited to the account).
- Pursuing the debt is uneconomical.
- Health and financial considerations.
- Statute Barred: An invoice becomes irrecoverable if six years have elapsed from the invoice date, date of service, or last payment date (whichever is later). If the debtor acknowledges the debt, the six-year period runs from that acknowledgment. All statute-barred debts follow the agreed write-off procedures as irrecoverable.
- Official Error: Housing Benefit overpayments occur when the customer could not reasonably be expected to know they were being overpaid. If the authority deems it unreasonable to recover the debt, it is considered irrecoverable.

We diligently monitor all outstanding debts to identify irrecoverable ones promptly. These debts are then written off in accordance with our financial standing orders.

Delegated Authority for Write-Offs:

Levels of authorisation for write-offs for debt are set in the financial regulations.

Group Heads and Deputy Chief Executive (Chief Finance Officer) therefore have the authority to write off individual outstanding balances up to a specified level; the delegations and levels which can be found in Councils Finance Procedure Rules May 2022.

Any write-offs exceeding the limits within the Procedure rules, must be approved by Corporate Policies and Resources Committee.

Additional Provisions:

- Debts without limit can be written off when bankruptcy, liquidation proceedings, administration, or receivership proceedings are initiated.
- Court-remitted debts require proper documentation and approval.

Appendix 1

Ongoing Monitoring and Reporting:

- The write-off policy remains in force.
- External checks, such as Call Credit, are used for write-offs over £750.
- All write-offs submitted to the Sales Ledger Team must be authorised by the relevant Group Head and the Chief Finance Officer.
- Quarterly reports on write-offs are provided to the Chief Finance Officer.

Accounts in Credit:

- Efforts are made to refund credits on accounts, but if no forwarding address is available, we consider writing off the credit.
- Quarterly reports help identify credits for potential write-off.

Deceased Debtors:

- Where the liable party is deceased and evidence confirms there is no estate or available asset from which to recover (e.g., probate/estate enquiry, executor/solicitor correspondence), the balance may be written off under officer delegation without Committee report. Approval remains subject to the write-off thresholds set out in section 10.7 of this policy and section D21 of the financial regulations.

Debtor Outside Jurisdiction:

- Where the debtor has permanently relocated outside England & Wales and documented attempts at tracing, engagement, and proportionate cross border recovery (including assessment of available mechanisms) demonstrate that enforcement is not realistically available or is uneconomical, the balance may be written off under officer delegation without Committee report. The case file must include tracing results, cost benefit assessment, and confirmation of why viable enforcement is unavailable or disproportionate.

Debtors in Custody:

- Imprisonment does not in itself constitute grounds for automatic write-off. Where the debtor is serving a long-term sentence and evidence indicates no assets, no ongoing entitlement for deductions, and no realistic recovery prospects during custody or reasonably post release, officers may seek delegated write-off without Committee report. Files must evidence sentence length/ status, asset/income checks, and consideration of alternative recovery routes.

Note: The formal write-off of debts does not preclude future recovery action if a customer's circumstances change.

Appendix 1

Appendix 10 - Payment Methods

Internet & Automated Telephone Payments

You can conveniently make payments using your Debit or Credit Card through the Council's Internet Payment facility. Here's how:

- Visit our website: Spelthorne Borough Council Online Payment
- Alternatively, use our automated telephone service by dialling 01784 444 220. These services are available 24 hours a day, 365 days a year.

Direct Debit Choose from a range of payment dates for Direct Debit.

Standing Order To set up a standing order, follow these steps:

1. Obtain a standing order form from your bank.
2. Complete the form, instructing your bank to pay:
 - **Lloyds Bank**
 - Account number: 11441960.
 - Sort code: 308012.
3. Always quote your Council Tax Reference number.
4. Return the completed standing order form to your bank. Ensure timely payments for the correct amount.

Telephone Banking Make payments using telephone banking services offered by most banks or building societies. Remember to quote your Council Tax Reference number along with the following Lloyds Bank details:

- Account number: 11441960.
- Sort code: 308012.

Post Office/Paypoint Outlets You can pay at most Post Offices using cash or cheque. If your bill has a barcode printed on it, you can also pay at Paypoint outlets (cash only). No fee applies for this service.

By Post (Do Not Send Cash) Follow these steps:

1. Make cheques payable to **Spelthorne Borough Council** and cross them as "A/C PAYEE ONLY."
2. Write your Council Tax Reference on the back of the cheque.
3. If you'd like a receipt, include a self-addressed stamped envelope.

Appendix 1

Remember that once your account is assigned to an enforcement agent, all outstanding balances and fees must be paid directly to the enforcement agent, not the Council. If you miss an enforcement agent visit, their contact details will be left, and you should promptly reach out to arrange payment or schedule another visit.

Debt Unable to Be Recovered the Council strives to minimise write-off costs for local Council taxpayers. We take all necessary actions to recover owed amounts. Reasonable and economical debt recovery measures are pursued before considering debt write-off. The degree of enforcement depends on the debt amount, type, and the debtor's personal circumstances, following the Council's Scheme of Delegation.

Appendix 11 - Supporting Financial Well-Being

HELPING CUSTOMERS MANAGE MONEY AND DEBT

- It is common for customers to feel uncertain about managing their finances or dealing with debt. Many are unaware of available advice services, and some hesitate to seek guidance from financial advisers or debt counsellors. However, ignoring financial challenges won't make them disappear. It's crucial for customers to seek help. Numerous organizations offer advice on welfare, debt, and money matters ([Cost of living support - Spelthorne Borough Council](#))

Here are some key agencies and bodies to note:

1. Advice UK

A registered charity and the UK's largest support network for independent advice centres.

Contact details:

- Website: [Advice UK](#)
- Phone: 0300 777 0107
- Address: Advice UK, 101E Universal House, 88 – 94 Wentworth Avenue, London, E1 7SA

2. Age UK

A registered charity dedicated to enhancing the lives of older individuals.

Contact details:

- Website: [Age UK](#)
- Phone: 0800 678 1602
- Address: Age UK, Tavis House, 1-6 Tavistock Square, London WC1H 9NA

Local service in Surrey:

- Website: [Age UK Surrey](#)
- Email: enquiries@ageuksurrey.org.uk
- Address: Age UK Surrey, Rex House, William Road, Guildford, GU1 4QZ

3. Armed Forces – Service Charities

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The Royal British Legion:

- Website: The Royal British Legion
- Phone: 0800 802 8080
- **SSAFA** (Soldiers, Sailors, Airmen and Families Association):
- Website: [SSAFA](#)
- Phone: 08007314880

4. Christians Against Poverty (CAP)

- A national Christian charitable company specializing in debt counseling for people facing financial difficulties, regardless of their religious beliefs.
- Contact details:
 - Website: [CAP UK](#)
 - Phone: 01274 760720
 - Address: Christians Against Poverty, Jubilee Mill, North Street, Bradford BD1 4EW

5. Citizens Advice

- Provides financial advice and debt assistance.
- National website: [Citizens Advice](#)
- Local service in Runneymede and Spelthorne:

Address: Sunbury Library, The Parade, Staines Road West, Sunbury-on-Thames TW16 7AB

Website: [Runneymede and Spelthorne Citizens Advice](#)

6. Money Advice Service (MAS)

- An independent government service offering financial health checks and budget calculators.
- Website: MAS Health Check
- Phone: 0800 138 7777

7. National Debtline

- A national helpline for debt problems in Wales, England, and Scotland.
- Website: National Debtline
- Phone: 0808 808 4000

8. Payplan

- Provides free debt advice and management.
- Website: Payplan
- Phone: 0800 280 2816

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9. Shelter

- A registered charity offering advice, information, and advocacy to people in need.
- Website: Shelter
- Phone: 0808 800 4444

10. Step Change Debt Charity

- Provides free debt advice over the phone.
- Website: StepChange
- Phone: 0800 138 1111

11. The Money Charity

- Offers information and guidance for people with debt or money worries.
- Website: The Money Charity
- Phone: 0207 062 8933
- Address: The Money Charity, 15 Prescott Place, London, SW4 6BS

Appendix 1

Appendix 12 - Equality Impact Analysis

This Equality Analysis Template is offered to Spelthorne Borough Council on a yearly licence. This Equality Analysis Template is the intellectual property of The National Equality Analysis Support Service Ltd (NEASS) and must not be distributed to or used by any other private or public body, any commercial organisation or any third party without the express permission of NEASS who can be contacted on:

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<p>Directorate: Customer Services and Revenues</p> <p>Service Area: Customer Services</p>	<p>Lead Officer:</p> <p>Date completed:</p>
<p>Service / Function / Policy / Procedure to be assessed:</p> <p>Corporate Debt Policy</p>	
<p>Is this:</p> <p>New / Proposed <input type="checkbox"/></p> <p>Existing/Review <input checked="" type="checkbox"/></p> <p>Changing <input type="checkbox"/></p> <p>(Please tick appropriate box)</p>	<p>Review date:</p>

Part A – Initial Equality Analysis to determine if a full Equality Analysis is required.

What are the aims and objectives/purpose of this service, function, policy or procedure?

Review existing Corporate Debt Policy to improve collection for all Service areas and promote a more joined up working with regards to collection of outstanding debt across the Council.

Please indicate its relevance to any of the equality duties (below) by selecting Yes or No?

	Yes	No
Eliminating unlawful discrimination, victimisation and harassment		
Advancing equality of opportunity		
Fostering good community relations		

If not relevant to any of the three equality duties and this is agreed by your Head of Service, the Equality Analysis is now complete - please send a copy to **NAMED OFFICER**. **If relevant**, a Full Equality Analysis will need to be undertaken (PART B below).

PART B: Full Equality Analysis.

Step 1 – Identifying outcomes and delivery mechanisms (in relation to what you are assessing)

<p>What outcomes are sought and for whom?</p>	<p>Greater understanding of amount of debt outstanding by service areas, provide greater transparency of the Group Head of a service, to reduce debt owed by the service in a timelier manner.</p>
<p>Are there any associated policies, functions, services or procedures?</p>	<p>The Corporate Debt Policy brings together all service areas where the agreed policy tackles all areas of debt that is owed to the Council as a whole and set guideline's as how collection of debt should be dealt with. It will also be monitored by the Corporate Debt Group on a quarterly basis where balances have not been reduced will be discussed as to how payment can be achieved.</p>
<p>If partners (including external partners) are involved in delivering the service, who are they?</p>	<p>N/A</p>

Step 2 – What does the information you have collected, or that you have available, tell you?

What evidence/data already exists about the service and its users? (in terms of its impact on the 'equality strands', i.e., race, disability, gender, gender identity, age, religion or belief, sexual orientation, maternity/pregnancy, marriage/civil partnership and other socially excluded communities or groups) and **what does the data tell you?** e.g., are there any significant gaps?

N/A

Has there been any consultation with, or input from, customers / service users or other stakeholders? If so, with whom, how were they consulted and what did they say? If you haven't consulted yet and are intending to do so, please list which specific groups or communities you are going to consult with and when.

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Consultation has been made with all Service areas and Group Heads and Managers and the Corporate Debt Group, regarding this document.

Are there any complaints, compliments, satisfaction surveys or customer feedback that could help inform this assessment? If yes, what do these tell you?

N/A

Step 3 – Identifying the negative impact.

a. Is there any negative impact on individuals or groups in the community?

Appendix 1

Barriers:

What is the potential or known barriers/impacts for the different 'equality strands' set out below? Consider:

- **Where** you provide your service, e.g., the facilities/premises.
- **Who** provides it, e.g., are staff trained and representative of the local population/users?
- **How** is it provided, e.g., do people come to you or do you go to them? Do any rules or requirements prevent certain people accessing the service?
- **When** is it provided, e.g., opening hours?
- **What** is provided, e.g., does the service meet everyone's needs? How do you know?

* Some barriers are justified, e.g., for health or safety reasons, or might be designed to promote equality, e.g., single sex swimming/exercise sessions, or cannot be removed without excessive cost. If you believe any of the barriers identified to be justified, then please indicate which they are and why.

Solutions:

What can be done to minimise or remove these barriers to make sure everyone has equal access to the service or to reduce adverse impact? Consider:

- Other arrangements that can be made to ensure people's diverse needs are met.
- How your actions might help to promote good relations between communities.
- How you might prevent any unintentional future discrimination.

Equality Themes	Barriers/Impacts identified.	Solutions (ways in which you could mitigate the impact)
Age (including children, young people, and older people)	N/A	
Disability (including carers)	N/A	

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Gender (men and women)	N/A	
Race (including Gypsies & Traveler’s and Asylum Seekers)	N/A	
Religion or belief (including people of no religion or belief)	N/A	
Gender Re-assignment (those that are going through transition: male to female or female to male)	N/A	
Pregnancy and Maternity	N/A	
Sexual orientation (including gay, lesbian, bisexual, and heterosexual)	N/A	

Step 4 – Changes or mitigating actions proposed or adopted.

Having undertaken the assessment are there any changes necessary to the existing service, policy, function, or procedure? What changes or mitigating actions are proposed?

- Quarterly arrears analysis report to be sent to all Service areas with a response from the Service area within a 4-week period, and arrears for all areas will be reported to the Corporate Debt Group on a quarterly basis.

Step 5 – Monitoring

How are you going to monitor the existing service, function, policy, or procedure?

Appendix 1

Quarterly review of arrears for all services areas reporting to the 151 Officer of the Council and quarterly meetings held by the Corporate Debt Group.

Part C - Action Plan

Barrier/s or improvement/s identified	Action Required	Lead Officer	Timescale

Equality Analysis approved by:

Group Head:	Date:
-------------	-------

Please send an electronic copy of the Equality Analysis to the Equality & Diversity Team and ensure the document is uploaded to the EA Register which will be available to the public:

Appendix 1

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Web: www.equalityanalysis.org.uk

FINANCIAL REGULATIONS

INTRODUCTION

Background

1. The Local Government Act 1972 section 151 requires the Council to make arrangements for the proper administration of its financial affairs. Together with the Contract Standing Orders, they regulate the conduct of Council business.
2. These Financial Regulations must be available to and apply to every councillor and employee of the Council and anyone acting on its behalf. They will apply to agents and consultants acting for the Council and to services carried out under agency arrangement, unless specifically excepted by the relevant Group Head and the Chief Finance Officer.
3. They will also apply to all arms-length organisations, wholly owned companies, agencies and partnerships with whom the Council does business and for whom the Council is the relevant accounting body. Where the Council is not the relevant accounting body, but is a responsible partner, staff must ensure that the accounting body has in place adequate Regulations and proper schemes of delegation and ensure that the arrangements are agreed with the Section 151 Officer.
4. Copies of Financial Regulations are provided to the Chief Executive, Deputy Chief Executives, Chief Finance Officer, all Group Heads and Service Managers and are included in the Council's Constitution.
5. To help you understand the terminology used in Financial Regulations, a Glossary of Terms is attached at the end.

Scope & Review

6. It is the responsibility of the Chief Executive, Deputy Chief Executives, Chief Finance Officer and Group Heads to ensure Financial Regulations are followed.
7. Group Heads are responsible for ensuring that all staff in their departments are aware of the existence and content of the Financial Regulations and that they comply with them. Equally, staff have a reciprocal responsibility to comply with the regulations.
8. All councillors and employees have a general responsibility for taking reasonable action to provide for the security of the assets under their control, and for ensuring that the use of these resources is legal, is properly authorised, provides value for money and achieves best value. In doing so, proper consideration must be given at all times to matters of probity and propriety in managing the assets, income and expenditure of the Council.
9. Failure to follow Financial Regulations and Contract Standing Orders will be reported to the Chief Finance Officer immediately and may, in consultation with Human Resources, be treated as a disciplinary offence.

10. Financial Regulations should be reviewed in line with inflation every two years by the Chief Finance Officer in consultation with the Chair and Vice Chair of Corporate Corporate Policy and Resources Committee.

Financial Regulation A – Financial Accountabilities and Management

- A1 Financial management covers all financial accountabilities in relation to the running of the Council including the policy framework and budget and should be read in conjunction with the Council's Constitution and in particular the Budget and Policy Framework Procedure Rules.

COUNCIL

- A2 The Council has the general responsibility for setting the Council's policy and budget framework.
- A3 The Council is responsible for:-
- a. adopting and changing the Council's Constitution and Members' Code of Conduct;
 - b. approving the policy framework, including the Capital Strategy, the Treasury Management Strategy and the Revenue Budget and Reserves Strategy within which the Council operates;
 - c. approving and monitoring compliance with the Council's overall framework of accountability and control. The framework is set out in the Council's Constitution;
 - d. monitoring compliance with the agreed policy, related strategy decisions by Corporate Policy and Resources Committee and Local Code of Corporate Governance; and
 - e. approving procedures for recording and reporting decisions taken. This includes those key decisions delegated by and decisions taken by the Council and its committees. These delegations and details of who has responsibility for which decisions are set out in the Constitution.

Corporate Policy and Resources Committee

- A4 The Council is responsible for delegating the following functions to the Corporate Policy and Resources Committee in accordance with the the Constitution:
- a) proposing the policy framework, its overall community and corporate strategies and budget strategy to the Council; and
 - b) monitoring the performance of Services, projects and programmes; and
 - c) discharging its functions and responsibilities as set out in the Council's Constitution and in accordance with the Policy Framework and Budget approved by Council.

The Corporate Policy and Resources Committee can delegate its decision making powers to a formally constituted sub-committee of the Committee, a staff member or a joint committee in accordance with the scheme of delegation as set out in the Council's Constitution.

ROLE OF OFFICERS

STATUTORY OFFICERS

Chief Executive (Head of Paid Service)

- A5 The Chief Executive as Head of Paid Service for the purposes of the Local Government Act 1989 is responsible for overall corporate and strategic management and has operational responsibility for the management of the Council as a whole. They must report as necessary to the Council and to the Corporate Policy and Resources Committee (and other strategic committees). They are responsible for provision of professional advice to all parties in the decision making process. The Chief Executive is also responsible together with the Monitoring Officer, for the system of record keeping in relation to all the Council's decisions.

Group Head of Corporate Governance (Monitoring Officer)

- A6 The Group Head of Corporate Governance as the Monitoring Officer will contribute to the promotion and maintenance of high standards of conduct through provision of support to the Standards Committee. The Group Head of Corporate Governance will provide advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and budget and policy framework issues to all councillors. He/she is also responsible for reporting any actual or potential breaches of the law or maladministration to the Council and/or to Corporate Policy and Resources Committee, and for ensuring that procedures for recording and reporting key decisions are operating effectively.
- A7 The Group Head of Corporate Governance will ensure that relevant staff reports and background papers are made publicly available as soon as possible. He/she must also ensure that councillors are aware of decisions made by committees and employees who have delegated responsibility in accordance with the Council's Constitution.

Deputy Chief Executive (Chief Finance Officer)

- A8 Under Section 151 of the Local Government Act 1972 and the general direction of the Corporate Policy and Resources Committee, the Chief Finance Officer is responsible for the proper administration of the Council's financial affairs.
- A9 Under Section 114 of the Local Government Act 1988, the Chief Finance Officer (CFO) is also responsible for reporting to the Council if councillors or staff make or are about to make a decision involving unlawful expenditure, loss or deficiency, or if proposed expenditure is likely to exceed available resources.
- A10 The Chief Finance Officer, as defined in the Constitution has statutory duties in relation to the financial administration and stewardship of the Council. This statutory responsibility cannot be overridden. The statutory duties arise from:
- a) Section 151 of the Local Government Act 1972
 - b) Local Government Finance Act 1988
 - c) The Local Government and Housing Act 1989

- d) The Accounts and Audit Regulations (England) 2015
- e) The Local Government Act 2003

A11 The CFO is responsible for:

- a) the proper administration of the Council's financial affairs
- b) setting and monitoring compliance with accounting and financial management procedures and standards
- c) maintaining an effective and adequate internal audit and all audit arrangements
- d) advising on the corporate financial position
- e) key financial controls necessary to secure sound financial management providing financial information
- f) preparing and controlling forward financial plans, budget strategies, the Revenue Budget, the Capital Strategy and Capital Programme
- g) treasury management and banking arrangements financial and related IT systems
- h) procedures and controls for ordering services, supplies and works
- i) payment of accounts and collection of income
- j) pay and pensions;
- k) providing advice and training to budget holders including advice on financial and operational controls.

A12 Section 114 of the Local Government Finance Act 1988 requires the Chief Finance Officer to report to the Council and External Audit if the Council or its staff:

- has made, or is about to make a decision which involves or would involve unlawful expenditure
- has taken or is about to take a course of action which if pursued to its conclusion would be unlawful and likely to result in a loss or deficiency by the Council; or
- is about to make an unlawful entry in the Council's accounts

A13 The Chief Finance Officer must also make a report under this section if it appears that the expenditure of the authority (including expenditure it is proposing to incur) in a financial year is likely to exceed the resources (including sums borrowed) available to meet that expenditure. In preparing a report the Chief Finance Officer shall consult as far as practicable with the Chief Executive, as the Head of the Council's Paid Service, and with the Group Head of Corporate Governance under the Local Government and Housing Act 1989.

A14 Section 114 of the 1988 Act also requires that the Deputy Chief Finance Officer performs these functions in the absence of the Chief Finance Officer. The Chief Accountant is the Council's statutory Deputy Chief Finance Officer.

- A15 The Council is required to provide the Chief Finance Officer with sufficient staff, accommodation and other resources – including legal advice where this is necessary – to carry out the duties under section 114.
- A16 The Chief Finance Officer is responsible for advising the Corporate Policy and Resources Committee or the Council about whether a decision is likely to be considered contrary or not wholly in accordance with the budget. Actions that may be ‘contrary to the budget’ include:
- a) initiating new policies and financial commitments
 - b) committing expenditure in future years above budget
 - c) budget or spending transfers above virement limits
- A17 The Chief Finance Officer is responsible for considering and approving requests to waive the regulations and will consult the Chief Executive and councillors where they consider this appropriate. All waivers will be reported by the Chief Finance Officer to the Corporate Policy and Resources Committee.
- A18 **Delegated Authorities**
- Under delegations to officers authority to make financial transactions is delegated to the Chief Executive, Deputy Chief Executives and Chief Finance Officer. However, some delegation to other staff is necessary for practical purposes. These delegations form lines of accountability which should be clear, well communicated and regularly reviewed. They also provide control through appropriate levels of authorisation, limited numbers and separation of duties.
- A19 Deputy Chief Executives will keep a list of their staff authorised to make financial transactions, copy that list to Chief Finance Officer for entry onto the financial system, and review it regularly.
- A20 An authorised signatory matrix is available to record delegated authorities. Essential details are staff member’s name, grade, specimen signature, transaction type, value limit of authority and evidence of approval by the Deputy Chief Executives, Management Team and the CFO.
- A21 In an emergency the Chief Executive, Deputy Chief Executives or Chief Finance Officer may authorise such expenditure as is necessary, to be later ratified by the Corporate Policy and Resources Committee.
- A22 A Group Head is a staff member fully responsible to a Deputy Chief Executive or Chief Executive (as applicable), for the management and provision of an identifiable service in accordance with service plans and strategies.
- A23 Group Heads are responsible for:
- a) ensuring that the Corporate Policy and Resources Committee or relevant strategic committee is advised of the financial implications of all proposals and that the financial implications have been agreed by the Chief Finance Officer;
 - b) operating financial processes within their departments. To do this they must ensure that adequate operational controls are in place;

- c) controlling expenditure and income, monitoring performance and taking the necessary action to remain within budgets and cash limits;

A24 It is the responsibility of Group Heads to consult with the Chief Finance Officer and seek approval regarding any matters which are liable to affect the Council's finances materially, before any commitments are incurred.

MANAGING EXPENDITURE: SCHEME OF VIREMENT (BUDGET TRANSFERS)

A25 The Scheme of Virement is intended to enable the Corporate Policy and Resources Committee, Chief Executive, Deputy Chief Executives and Group Heads and their staff to manage budgets with a degree of flexibility within the overall policy framework determined by the Council and therefore, to optimise the use of resources.

A26 The Council is responsible for agreeing procedures for virement of expenditure between budget headings.

A27 Virements are the temporary transfer of surplus budget provisions between 'estimate' headings. These do not affect the base budgets for future years.

A28 Group Heads are responsible for agreeing in-year virements within delegated limits, in consultation with the Chief Finance Officer where required.

A29 Key controls for the Scheme of Virement are:

- a) It is administered by the Chief Finance Officer within guidelines set by the Council. Any variation from this scheme requires the approval of the Corporate Policy and Resources Committee.
- b) The overall budget is agreed by the Corporate Policy and Resources Committee and approved by the Council. The Deputy Chief Executives, Group Heads and budget managers are therefore authorised to incur expenditure in accordance with the estimates that make up the budget. The rules below cover virement. For this purpose, a service comprises a separate page or column in the published budget.
- c) Virement does not create additional overall budget liability. Virements are not permitted on the following revenue expenditure heads unless the Chief Finance Officer has approved their use:
 - a) Business rates resulting from revaluation
 - b) Insurance
 - c) Capital financing charges
 - d) Members' allowances
 - e) Government grants
 - f) And any others identified by the Chief Finance Officer

A30 The Chief Executive, Deputy Chief Executives and Group Heads are expected to exercise their overall discretion in managing their budgets

reasonably and prudently. For example they should aim to avoid supporting recurring expenditure from on-off sources of savings or additional income of creating future commitments, including full-year effects of decisions made partway through a year for which they have not identified future resources.

- A31 The Chief Executive, and Deputy Chief Executives may transfer or "vire" funds between revenue budget heads within their services, subject to the following general parameters:
- (a) All corporate guidelines and policies will be followed;
 - (b) Conditions of Service will be complied with;
 - (c) A single 'one-off' budget may not be transferred to fund a new ongoing item of expenditure; and
 - (d) Budgets not under effective control of the budget holder may not be vired eg rates and insurance.
- A32 Any such transfer will be agreed with the Group Head and discussed with the service accountant before implementation and agreed by the Chief Finance Officer.
- A33 Any proposal to transfer funds between services requires the approval of the Management Team (MAT) and the Corporate Policy and Resources Committee.
- A34 Any revenue virement with a value greater than £100,000 must be approved by the Corporate Policy and Resources Committee.
- A35 Any capital virement must be approved by the Corporate Policy and Resources Committee.

(Note to officers - all numbering hereafter needs adjusting)

Supplementary Estimates

- A36 If an essential increase in spending cannot be contained within existing budgets through the transfer arrangements described above, the relevant Deputy Chief Executive will consult with the Chief Finance Officer and report to the Corporate Policy and Resources Committee (where applicable), to obtain a supplementary estimate. No expenditure may be incurred until the supplementary estimate has been approved.
- A37 The Chief Finance Officer in consultation with the Chair and Vice Chair of Corporate Policy and Resources Committee is authorised to approve a total supplementary expenditure in a year not exceeding **5%** of the approved Net Revenue Budget, and **£20,000** on any approved capital scheme.
- The Corporate Policy and Resources Committee is authorised to approve a total supplementary expenditure in a year not exceeding **10%** of the approved Net Budget, Requirement of the Council and **£1,000,000** on any approved capital scheme.
- A38 The Chief Finance Officer shall maintain a record of all supplementary estimates approved.

- A39 If a claim is made against the Council which is not recoverable under an insurance policy, the Leader has authority to spend as necessary in resisting the claim, and/or in deciding and meeting the terms of any settlement made in the best interests of the Council. The Chief Executive is authorised to decide the terms of any settlement involving expenditure not exceeding £30,000, and to spend such amounts subject to report on the circumstances of the claim and settlement to the next meeting of the Corporate Policy and Resources Committee.

Treatment of year-end balances

- A40 The Chief Finance Officer is responsible for agreeing procedures for the carrying forward of underspendings on budget headings.
- A41 The rules below cover arrangements for the transfer of resources between accounting years, i.e a carry-forward. For this purpose, a budget head is a line in the estimates report or, as a minimum, at an equivalent level to the standard service subdivision as defined by the Chartered Institute of Public Finance and Accountancy (CIPFA) in its Service Expenditure Analysis.

Responsibilities of the Chief Finance Officer

- A42 To administer the scheme of carry forward.
- A43 To report all major underspendings (£50k) on services estimates to the Corporate Policy and Resources Committee
- A44 To report all major overspends (£50k) service estimates to the Corporate Policy and Resources Committee and to the Council.
- A45 To monitor the spending of any carry forwards and report to Management Team.

Responsibilities of the Corporate Policy and Resources Committee

- A46 To consider and approve as appropriate the items put forward on the carry forward list.

Responsibilities of Deputy Chief Executives and Group Heads

- A47 Any overspending on service estimates in total on budgets under the control of the Chief Executive, Deputy Chief Executive or Group Heads must be explained to the Chief Finance Officer. The Chief Finance Officer will report the extent of major over and under spendings to the Corporate Policy and Resources Committee and in the case of major overspendings also to the Council.

ACCOUNTING POLICIES

- A48 The Chief Finance Officer is responsible for determining accounting policies and financial systems and ensuring that they are applied consistently. The Chief Finance Officer is responsible for the preparation of the Council's Statement of Accounts, in accordance with proper practices as set out in the format required by the Code of Practice on Local Authority Accounting in the United Kingdom: A Statement of Recommended Practice (CIPFA/LASAAC)

for each financial year ending 31 March, and the Accounts and Audit (England) Regulations 2015.

- A49 The key controls for accounting policies are:
- a) Systems of internal control are in place that ensure financial transactions are lawful;
 - b) Suitable accounting policies are selected and applied consistently;
 - c) Proper accounting records are maintained; and
 - d) Financial statements are prepared which present fairly the financial position of the Council and its expenditure and income.
 - e) External audit of these financial statements.

Responsibilities of the Chief Finance Officer

- A50 To select suitable accounting policies and to ensure that they are applied consistently.
- A51 To exercise supervision over financial and accounting records and systems with a view to ensuring their uniformity, co-ordination and compatibility.
- A52 To prepare and publish reports containing the statements on the overall finances of the Council, including the Council's Annual Report and Accounts.
- A53 To make proper arrangements for the audit of the Council's accounts in accordance with the provisions of the Accounts & Audit Regulations Act 1996 (as amended and updated);
- A54 To prepare and publish the audited accounts in accordance with the statutory timetable for the approval of the Audit Committee before the national target date; and
- A55 To ensure Services have in place suitable arrangements for compiling and submitting all claims for funds, including grants, by the due date.

Responsibilities of the Deputy Chief Executives and Group Heads

- A56 To adhere to the accounting policies and guidelines approved by the Chief Finance Officer.
- A57 To obtain the approval of the Chief Finance Officer before introducing any books, forms or procedures or other records relating to cash, stores or other accounts of the Council which may affect the Council's finances.
- A58 To submit to the Chief Finance Officer any information as the latter considers necessary for accounting and costing purposes and allow the Chief Finance Officer access at all reasonable times to all accounting records and documents which may affect the Council's finances.
- A59 To consult the Chief Finance Officer when preparing publications containing financial information.

ACCOUNTING RECORDS AND RETURNS

- A60 The Chief Finance Officer is responsible for determining the accounting procedures and records for the Council.

- A61 All accounting procedures and records will be approved by the Chief Finance Officer.
- A62 All accounts and accounting records will be compiled by the Chief Finance Officer or under their direction. The form and content of records maintained in other services will be approved by the Chief Finance Officer.
- A63 The following principles will apply in accounting procedures:
- a. calculating, checking and recording of sums due to or from the Council will be separated as completely as possible from their collection or payment;
 - b. staff responsible for examining and checking cash transaction accounts will not process any of these transactions themselves;
 - c. reconciliation procedures are carried out to ensure transactions are correctly recorded;
 - d. procedures are in place to enable accounting records to be reconstituted in the event of systems failure; and
 - e. prime documents are retained in accordance with legislative and other requirements.
- A64 The Chief Finance Officer is responsible for ensuring financial management and accounting information is available for all services administered by the Council, in either electronic or hard copy format.
- A65 The need to balance speed and accuracy with cost in producing accounting statements will be considered and determined by the Chief Finance Officer, after consulting the Group Head concerned.

The Annual Statement of Accounts

- A66 The Audit Committee is responsible for approving the annual statement of accounts, which have to be signed by the Chief Finance Officer and the Chairman of the Audit Committee. The Chair of Corporate Policy and Resources Committee and Chief Executive also to sign off the Annual Governance Statement incorporated into the Statement of Accounts

FINANCIAL REGULATION B: FINANCIAL PLANNING

B1 The Council is responsible for agreeing the Council's policy framework and budget, which will be proposed by the Corporate Policy and Resources Committee. . In terms of financial planning, the key elements are:

- the corporate strategy in the form of the Corporate Plan;
- service plans;
- the medium term financial strategy;
- the Outline Budget;
- the Revenue Budget;
- the Reserves Strategy
- Treasury Management Strategy
- the Capital Strategy and
- the Capital Programme.

THE BUDGET PROCESS

Introduction

B2 Each year, the Chief Finance Officer and Chief Accountant will prepare timetables for the preparation, submission and approval of the Outline Budget, Capital Budget and detailed Revenue Budget. These budgets will comply with the Code of Practice on a Prudential Approach to Local Authority Commitments.

B3 The order of paragraphs in this section roughly follows the order in which the budget process is carried out.

Capital Programme

B4 The Chief Executive, and Deputy Chief Executives will prepare provisional estimates of income and expenditure on capital schemes for each of their services, for each of the next four financial years, together with details of any revenue implications. The Chief Finance Officer will specify the form these estimates should take and the timetable for their submission.

B5 Capital expenditure differs from revenue expenditure in several ways, and falls into the following general categories:

- a) purchase or construction of an asset;
- b) enhancement of an asset; and
- c) grants for capital purposes.

B6 Council assets include land, buildings, vehicles, plant and equipment. The Council makes grants for capital purposes such as improvement grants and grants to housing associations which are classed as capital expenditure.

B7 Capital expenditure is often of high value and the benefit is expected to be spread over a number of years. Revenue expenditure is the annual running costs in relation to the provision of a service.

- B8 Provisional estimates will distinguish between committed and uncommitted expenditure. A scheme can only be included in provisional estimates after detailed evaluation by Management Team in accordance with agreed criteria.
- B9 Management Team will consider the provisional capital programme. After making any necessary amendments, the Chief Finance Officer will submit the summarised programme and estimated resources to the the Corporate Policy and Resources Committee, together with a report on the revenue implications of the programme and any other relevant information.
- B10 The programme recommended by services and a report by the Chief Finance Officer will be submitted to the Corporate Policy and Resources Committee, for final consideration in the context of the Council Tax to be levied.

Outline Budget Forecast

- B11 Management Team will prepare information needed to produce an Outline Budget Forecast for each of their services. The Chief Finance Officer will specify the form this Forecast should take and the timetable for its submission.
- B12 This information will include :-
- i. an indication of the continued need for the service at its current level and in its current form;
 - ii. the impact on the service of known or likely legal or contractual changes over the next four years;
 - iii. the impact over the next four years of any policy changes already approved by the Management Team
 - iv. The impact other changes on service levels and net income such as anticipated population growth, state of the economy
- B13 Management Team will consider the initial Outline Budget Forecast. After making any necessary amendments, the Chief Finance Officer will submit it to the Corporate Policy and Resources Committee, together with a report on the possible central government funding levels as set out in the Local Authorities Provisional Settlement ,other grant funding and anticipated retained business rates income, availability of reserves and implications for the Council Tax.
- B14 The Corporate Policy and Resources Committee will consider this and determine the overall level of resources to be made available, and the limits within which detailed budgets can be prepared.

Detailed Revenue Budget

- B15 Management Team will prepare provisional detailed estimates of income and expenditure on the revenue account in accordance with the Corporate Plan for each of their services for the next financial year. The Chief Finance Officer will specify the form these estimates should take and the timetable for their submission.
- B16 These estimates will reflect the Outline Budget Forecast and the decisions of the Corporate Policy and Resources Committee detailed at paragraph B13 above.
- B17 All revenue budgets will be prepared at current costs, and converted to outturn prices by Financial Services. The forecast for inflation will be decided by the Chief Finance Officer.

- B18 Each budget head will be cash limited, and any minor variations in spending will be met from the approved budget. A budget head is an individual sum specified in the published service budget.
- B19 The Chief Finance Officer will submit the detailed draft Revenue Budget to Management Team for consideration and approval and subsequently submit it to the Corporate Policy and Resources Committee.

Approval of the Annual Revenue Budget

- B20 By 1 March at the latest each year, the Corporate Policy and Resources Committee will submit to the Council estimates of income and expenditure on the revenue account which it recommends for the next financial year, together with statements of precepting authorities' requirements, and its recommendation for the Council Tax necessary to meet the expenses of both the Council and precepting authorities.
- B21 The Council will meet by 1 March each year to consider the total budget proposals submitted by the Corporate Policy and Resources Committee and decide the amount of Council Tax to be levied for the next financial year.
- B22 Once approved by the Council, amounts detailed in the Annual Budget may only be applied to the objects specified under their relevant budget head, or "voted". See paragraph A31 above for procedures to vary these approvals.

BUDGETARY CONTROL

- B23 Budgetary control ensures that once budget has been approved by the Council, resources allocated are used for their intended purposes and are properly accounted for. Budgetary control is a continuous process, enabling the Council to review and adjust its budget targets during the financial year. It also provides the mechanism that calls to account managers responsible for defined elements of the budget.

CAPITAL

Authorisation of Capital Expenditure

- B24 Capital expenditure on a scheme not included in estimates or budgets may only be incurred after full evaluation of that scheme by the Corporate Policy and Resources Committee and/or its Development sub-committee (as appropriate) (if under £1 million). Any proposed capital expenditure over £1 million must be evaluated and agreed by majority of Council Members. This will include a statement explaining the scheme's purpose, the need for it and a detailed analysis of capital costs involved. Exceptions are any payments authorised under paragraph A35 above. If the estimated expenditure is expected to cover more than one financial year, the estimate will show:

- i. the total estimated expenditure, and
- ii. the proposed levels of spend for each financial year involved.

This paragraph (B24) shall take priority over any other clause or paragraph within this Constitution that may be, or appear to be, in conflict.

- B25 The scheme evaluation will also include a statement of estimated revenue expenditure and income generated by the scheme:
- (a) during the construction period, and
 - (b) for the first three years following the completion of the project.
- B26 The Deputy Chief Executives can authorise reasonable expenditure on necessary preliminary works, fees and salaries on schemes for which they are responsible, within the approved capital programme.
- B27 Accountability for each capital project is to be accepted by a named manager.

Capital Expenditure Monitoring

- B28 No Group Head responsible for the implementation of a capital scheme may incur capital expenditure greater than the approved budget for that year.
- B29 As soon as a staff member becomes aware of a likely overspend on a Capital Scheme, they must report to Management Team and the Corporate Policy and Resources Committee (as applicable), requesting a supplementary estimate in accordance with A35 and expenditure under A36.
- B30 The Group Head for Neighbourhood Services is authorised to purchase new equipment other than programmed replacements, provided such purchases are contained within Neighbourhood Services' revenue plan as agreed in advance with the Chief Finance Officer.

RESPONSIBILITIES OF THE CHIEF FINANCE OFFICER

- B31 To prepare capital estimates jointly with the Chief Executive, Deputy Chief Executives and Group Heads and to report them to the Corporate Policy and Resources Committee for approval. The Corporate Policy and Resources Committee will make recommendations on the capital estimates and on any associated financing requirements to the Council.
- B32 To prepare and submit reports to the Corporate Policy and Resources Committee on the projected income, expenditure and resources compared with the approved estimates.
- B33 To issue guidance concerning capital schemes and controls, for example on project appraisal techniques.
- B34 To approve the re-phasing of capital schemes within the approved capital programme between financial years, subject to the availability of resources to make the most effective use of those resources.

Responsibilities of Chief Executive, Deputy Chief Executives and Group Heads

- B35 To comply with guidance concerning capital schemes and controls issued by the Chief Finance Officer.
- B36 To ensure that all major capital proposals have undergone a project appraisal in accordance with the Council's project management methodology.
- B37 To ensure that adequate records are maintained for all capital contracts.

- B38 To proceed with projects only when there is adequate provision in the capital programme.
- B39 To prepare and submit reports jointly with the Chief Finance Officer to the Corporate Policy and Resources Committee on any variation in contract costs greater than the approved limits.
- B40 To ensure all credit arrangements such as leasing arrangements, are not entered into without the prior approval of the Chief Finance Officer.

Prudential Code

- B41 Under the Local Government Act 2003 the Council is required by regulation to have regard to the Chartered Institute of Public Finance and Accountancy's (CIPFA) Prudential Code for Capital Finance in Local Authorities (the Code). The key objectives of the Prudential Code are to ensure that within a clear framework, the capital investment plans of local authorities are affordable, prudent and sustainable. A further objective is to ensure that treasury management is undertaken in a manner that supports prudence, affordability and sustainability.
- B42 The Council is responsible for approving prior to the commencement of the financial year the prudential indicators for the forthcoming financial year and at least the two subsequent financial years required by the Code. The indicators required as a minimum are:

For the three year period:

Estimates of the ratio of financing costs to net revenue stream;
Estimates of the Council Tax that would result from the totality of the authority's plan;
Estimates of capital expenditure;
Estimate of capital financing requirement (underlying need to borrow for a capital purpose);
Authorised limit for external debt;
Operational boundary for external debt; and
aAny locally determined indicators considered appropriate

After the year end actual values are to be calculated for:

Ratio of financing costs to net revenue stream;
Capital expenditure;
Capital financing requirement; and
External debt.

Responsibilities of the Chief Finance Officer

- B43 The Chief Finance Officer is responsible for establishing procedures to both monitor performance against all forward looking prudential indicators and for ensuring that net external borrowing does not exceed the capital financing requirement. The Chief Finance Officer will report to Council any significant deviations from expectations. The Chief Finance Officer will ensure that regular monitoring is undertaken in year against the key measures of affordability and sustainability, by reviewing estimates of financing costs to revenue and the

capital financing requirement. Significant variation in the estimates used to calculate these prudential indicators, for example caused by major overruns of expenditure on projects or not achieving in-year capital receipts, will require a report to Council setting out management action.

REVENUE

Authorisation of Revenue Expenditure

B44 Subject to Financial Regulations, Contract Standing Orders and any other specific limitations, the Chief Executive, and each Deputy Chief Executive is authorised to spend those sums voted to their areas of responsibility for the financial year. With the exception of Regulations B47-B52 below, revenue expenditure may only be incurred for purposes specified in the Annual Budget, and is strictly limited to the amounts voted under relevant budget heads.

Key Controls

B45 The key controls for managing budgets are:

There is a nominated budget manager for each cost centre heading;

Budget managers accept accountability for their budgets and the level of service to be delivered and understand their financial responsibilities;

Budget managers follow an approved certification process for all expenditure; and

Income and expenditure are properly accounted for.

Responsibilities of the Chief Finance Officer

B46 To establish an appropriate framework of budgetary management and control that ensures that:

- a) Budget management is exercised within annual cash limits;
- b) Each Deputy Chief Executive and Group Head has available timely information on receipts and payments on each budget which is sufficiently detailed to enable managers to fulfil their budgetary responsibilities;
- c) Ensure each cost centre has a single named Manager determined by the, relevant Deputy Chief Executive or Group Head. As a general principle, budgetary responsibility should be aligned as closely as possible to the decision making processes that commits expenditure;
- d) To be responsible for providing appropriate financial information to enable budgets to be monitored effectively;
- e) To administer the Council's scheme of virement; and
- f) To prepare and submit reports on the Council's projected income and expenditure compared with the budget to Management Team, Group Heads and Corporate Policy and Resources Committee on a regular basis.

Responsibilities of the Chief Executive, Deputy Chief Executives and Group Heads

- B47 The Chief Executive, Deputy Chief Executives are responsible for supervising income and expenditure within their services. Similarly Group Heads are responsible for supervising income and expenditure within their departments.
- B48 To control income and expenditure within their areas and to monitor performance taking account of financial information provided by the Chief Finance Officer. They should take any action necessary to avoid exceeding their budget allocation and alert the Chief Finance Officer to any problems.
- B49 To maintain budgetary control within their services and to ensure that all income and expenditure is properly recorded and accounted for.
- B50 To ensure that spending remains within a services's overall cash limit and that individual budget heads are not overspent by monitoring the budget and taking appropriate corrective action where significant variations from the approved budget are forecast.
- B51 To ensure compliance with the scheme of virement.
- B52 To agree with the relevant Chief Executive, Deputy Chief Executive or Group Head where it appears that a budget proposal, including a virement proposal may impact materially on another service area.

REPORTS WITH FINANCIAL IMPLICATIONS

- B53 The Chief Finance Officer will be consulted on any report on any matter affecting or likely to affect the Council's finances.
- B54 This consultation will take place as early as possible, before any meeting of staff or councillors at which the report is first considered.
- B55 Any Committee report with financial implications will first be submitted to Management Team.

FINANCIAL REGULATION C: CONTROL OF RESOURCES

INTRODUCTION

- C1 It is essential that robust systems are maintained for identifying and evaluating all significant operational risks to the Council on an integrated basis. This includes the active participation of all staff associated with planning and delivering services

Risk management

- C2 Risk Management is the whole process of identifying, and evaluating and controlling the strategic and operational risks of the Council. A risk is the chance or possibility of loss, damage, injury or failure to achieve objectives by an unwanted or uncertain action or event. This includes the risk of 'missed opportunities'.
- C3 As the Council is the custodian of public funds risk management is particularly significant and the level of risk that can be tolerated in its activities will need to be carefully considered with risks and reward carefully evaluated.
- C4 The sections below outline key components of the Council's adopted risk management framework.
- C5 The key controls for risk management are:-
- a) establishing clear roles, responsibilities and reporting lines within the Council for risk management;
 - b) maintaining a clear Corporate Risk Register and Policy;
 - b) incorporating risk management considerations into all operations and decision making processes;
 - c) maintaining documented procedures for the control of risk and the provision of suitable information, training and supervision;
 - d) maintaining an appropriate incident reporting and recording system with investigation procedures to establish cause and prevent recurrence;
 - e) offering a framework for allocating resources to identified priority risk areas;
 - f) operating appropriate project management methodologies proportionate to the scale of projects;
 - g) reinforcing the importance of effective risk management as part of the everyday work of employees by offering training;
 - h) maintaining effective communication and the active involvement of every councillor and employee of the Council;
 - i) including risk management as an agenda item at meetings as appropriate and holding Corporate Risk Management Group meetings;
 - j) providing opportunities for shared learning on risk management across the Council; and
 - k) preparing contingency plans in areas where there is a potential for an occurrence having a catastrophic effect on the Council and its business capability.

- C6 The Chief Finance Officer is responsible for ensuring regular corporate assessments of risk and Group Heads for reviewing risks annually.
- C7 The Chief Finance Officer is responsible for developing specific programmes and procedures for establishing and maintaining risk management activities and to ensure the dispersal of vital information and, where appropriate, provide guidance, interpretation and understanding of the systems involved.
- C8 The Chief Finance Officer has implemented a risk management structure involving the Management Team, a Corporate Risk Management Group, Internal Audit and Group Heads to support their responsibilities.
- C9 Group Heads will take responsibility for risk management in their department having regard to advice from the Chief Finance Officer and other specialist staff (e.g. health and safety, internal audit).

INSURANCE

- C10 The Chief Finance Officer will arrange all insurance cover, keep a register of insurances and ensure the Council's insurance arrangements are reviewed each year.
- C11 Before the annual renewal of insurance cover, the Chief Finance Officer will provide the Deputy Chief Executives as necessary with a summary of all current insurances to check and review their adequacy.
- C12 Each Group Head will provide the Chief Finance Officer immediately with details of all new risks to be insured, and of any alterations affecting existing insurable risks.
- C13 Each Deputy Chief Executive will forward any new or renewal contract terms to the Chief Finance Officer for risk analysis before any contract is let and appropriate insurance cover arranged.
- C14 Each Deputy Chief Executive will ensure that any proposals for new buildings or alterations to existing buildings are copied to the Chief Finance Officer before any tenders are requested, for risk analysis and arrangement of appropriate insurance cover.
- C15 The appointment of insurance brokers to act on behalf of the Council will be reviewed every three years by the Chief Finance Officer.
- C16 Any event which may result in an insurance claim will be immediately notified to the Chief Finance Officer, to make all claims on the Council's Insurers. Where an incident has occurred Group Heads must take steps to mitigate any future incident, but where a repair is required should first take a photograph for evidence purposes.
- C17 No staff member will admit liability, take any action or enter into any correspondence admitting liability on behalf of the Council.
- C18 All staff and voluntary workers on Council business are included in a suitable fidelity guarantee policy.

Internal control

- C19 Internal Control is a key component in the Council's Risk Management process. It relates to the whole system of policies, processes and checks employed to mitigate risks.
- C20 Internal control refers to the systems of control to ensure that the Council's objectives are achieved in a manner which promotes economical, efficient and effective use of resources, that the Council's assets and interests are safeguarded, and that organisational goals will be achieved.
- C21 The Chief Finance Officer is responsible for advising on effective systems of internal control. These arrangements need to ensure compliance with all applicable statutes and regulations, and other relevant statements of best practice. They should ensure that public funds are properly safeguarded and used economically, efficiently, and in accordance with the statutory and other authorities that govern their use.
- C22 It is the responsibility of Group Heads to establish sound arrangements for planning, appraising, authorising and controlling their operations in order to control risks.

Internal Audit requirements

- C23 The authority of the Internal Audit function is derived from legislation and for local authorities this is implied by Section 151 of the Local Government Act 1972, which requires that authorities shall *'make arrangements for the proper administration of their financial affairs and shall ensure that one of their officers has responsibility for the administration of those affairs'*.

The Accounts and Audit (England) Regulations 2015 more specifically state *'A local government body shall maintain an adequate and effective system of internal audit of its accounting records and of its system of internal control in accordance with proper practices in relation to internal control'*.

All audit work must be conducted in accordance with the Public Sector Internal Audit Standards.

- C24 Significant issues arising from audit reports will be reported to the relevant Deputy Chief Executive, and periodic reports will be made to Management Team and the Audit Committee.
- C25 The Chief Finance Officer and the Chief Internal Auditor provided by Southern Internal Audit Partnership or their authorised representatives shall have authority where necessary in the performance of Council duties to:
- enter any Council premises or land in the occupation of the Council;
 - have access to all records, documents and correspondence relating to any financial and other transaction of the Council;

- require and receive oral or written explanations from any employee as he/she thinks necessary concerning any matter under examination; and
- require any employee of the Council to produce cash, stores or any other Council property under their control.

C26 The Audit Committee is to approve the annual audit plan prepared by the Chief Internal Auditor provided by Southern Internal Audit Partnership to take account of the characteristics and relative risks of the activities involved.

C27 Any suspected fraud or irregularity must be reported to the Chief Finance Officer who will refer the matter to Internal Audit for investigation.

Internal Audit will have organisational independence through direct reporting lines to the Section 151 Officer, the Chief Executive and Audit Committee.

The Audit Committee will approve the Annual Governance Statement

Responsibilities of Chief Executive, Deputy Chief Executives and Group Heads

C28 To ensure that internal auditors are given access at all reasonable times to premises, personnel, documents and assets which the auditors consider necessary for their work.

C29 To ensure that auditors are given any information and explanations they seek in the course of their work.

C30 To consider and respond promptly to recommendations in audit reports.

C31 To ensure that any agreed actions arising from audit recommendations are carried out in a timely and efficient fashion.

C32 To ensure that new systems for maintaining financial records, or records of assets, or changes to such systems, are discussed with and agreed by the Chief Internal Auditor provided by Southern Internal Audit Partnership before implementation.

C33 The Council may, from time to time, be subject to audit, inspection or investigation by external bodies such as HM Revenue and Customs who have statutory rights of access.

Preventing fraud and corruption

C34 The Council is a public body and therefore will not tolerate any fraud and corruption in the administration of its responsibilities, whether from inside or outside the authority. All councillors and employees are expected to lead by example on all aspects of honesty, propriety and accountability. The Council also expects that individuals and organisations with whom it comes into contact (e.g. suppliers, contractors, service providers, and partners) will act towards the authority with integrity.

- C35 The Council's Anti-fraud, Bribery and Corruption policy sets the culture for the organisation to address the risk of fraud and corruption, and summarises the methods of prevention, detection and investigation in place.
- C36 All managers are responsible for developing and maintaining procedures to prevent fraud and corruption.

FINANCIAL IRREGULARITIES

- C37 The Chief Finance Officer will be notified of any irregularity in the financial affairs of the Council or in the exercise of its functions.
- C38 Irregularities will be reported as appropriate to the Chief Executive and councillors.
- C39 Any councillor or staff member who is aware of any suspected fraud, theft, irregularity, improper use or misappropriation of the Council's property, resources or systems, should immediately report it to their Group Head, Chief Finance Officer, Chief Internal Auditor provided by Southern Internal Audit Partnership, Chief Executive, Deputy Chief Executives, Monitoring Officer or External Auditor, having regard to the Council's Anti-Fraud, Bribery and Corruption Policy. Pending investigation and reporting, the Group Head should take all necessary steps to prevent further loss and to secure records and documentation against removal or alteration
- C40 If officers feel they cannot raise their concerns through any of these routes, they may contact Protect (0203 117 2520), a registered charity whose services are free and strictly confidential.
- C41 Where irregularities involve either councillors or staff the Chief Finance Officer, in consultation with the Chief Executive, is responsible for deciding whether to involve the police.

Assets

- C42 Group Heads must ensure that records and assets are properly maintained and securely held. They should also ensure that contingency plans for the security of assets and continuity of service in the event of disaster or system failure are in place.
- C43 Separate registers are maintained for the following fixed assets:
- land and buildings (maintained on the Property Terrier);
 - vehicles and plant;
 - ICT equipment
 - furniture and equipment financed from capital; and
 - infrastructure expenditure.
- C 44 It would be uneconomic and inefficient for the cost of assets to outweigh their benefits. Obsolete, non-repairable or unnecessary resources should be disposed of in accordance with the law and the approval of the Deputy Chief Executives.

- C45 If the Council decides to become involved in the commercial exploitation of inventions, the matter should proceed in accordance with its approved intellectual property procedures.

SECURITY

General

- C46 The Deputy Chief Executives, along with the Group Heads, are responsible for the security of buildings, stocks, stores, furniture, equipment, cash etc under their control. The Chief Finance Officer will be consulted where security may be failing or where special security arrangements may be needed.

Data Protection and Information Security

- C47 The Chief Executive, and Deputy Chief Executives are responsible for the security and privacy of information held within their services and for ensuring compliance with Data Protection, Copyright and Computer Misuse Acts.
- C48 All staff members will be made aware of their obligations under the Acts and the Council's policy regarding data and systems security as set out in the Finance Procedure Manual and on Spelnet. This includes physical security, privacy and passwords, back ups, viruses and software copyright.

Responsibilities of the Chief Finance Officer

- C49 The Chief Finance Officer is responsible through the Group Head for Regeneration and Growth, for strategic management and maintenance issues.
- C50 The Chief Finance Officer is responsible in liaison with Accountancy, ICT Services and Asset Management for maintaining the Council's Asset Register.
- C51 To ensure that asset registers are maintained in accordance with good practice for fixed assets. The function of asset registers is to provide the Council with information about fixed assets so that they are:
- safeguarded;
 - used efficiently and effectively; and
 - adequately maintained.

To ensure that assets are valued in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom: A Statement of Recommended Practice (CIPFA/LASAAC).

- C52 To report to the Corporate Policy and Resources Committee any significant (over £50k) write-off of stocks and stores.

Responsibilities of Chief Executive, and Deputy Chief Executives

C53 The Chief Executive, Deputy Chief Executives and Group Heads are responsible for day to day management of assets used within their services and are accountable for ad hoc maintenance.

Responsibilities of Group Heads

C54 The Group Head for Regeneration and Growth must maintain an Asset Register in a form approved by the Chief Finance Officer for all land and buildings. The Group Head for Neighbourhood Services is to maintain asset registers in a form approved by the Chief Finance Officer for vehicles and plant currently owned or used by the Council. The Group Head for Commissioning and Transformation to maintain an asset register of all ICT equipment in a form approved by the Chief Finance Officer. Any use of property by a department or establishment other than for direct service delivery, with the exception of investment properties, should be supported by documentation identifying terms, responsibilities and duration of the use.

C55 The Group Head for Neighbourhood Services is responsible for organising ad hoc maintenance of Neighbourhood Services' assets.

C56 Group Heads are to ensure the proper security of all buildings and other assets under their control. Investment property let to third parties is their responsibility to secure.

C57 To pass the title deeds to the Group Head of Corporate Governance, who is responsible for custody of all title deeds.

C58 To ensure that the department maintains an inventory of moveable assets in accordance with guidance defined by the Chief Finance Officer.

C59 To ensure that controls are in place to ensure that staff members do not carry out private work in Council time and that staff are aware of an employer's rights with regard to intellectual property.

All assets

C60 To ensure the safe custody of vehicles, equipment, furniture, stock, stores and other property belonging to the Council.

C61 To record all disposal or part exchange of assets and notify the Finance team. Individual assets valued at £1,200 or more should be disposed of or part exchanged by competitive tender or public auction unless the Chief Finance Officer agrees otherwise.

C62 To arrange for the valuation of assets for accounting purposes to meet requirements specified by the Chief Finance Officer.

- C63 To seek advice from the relevant Deputy Chief Executive, or Chief Executive on the disposal of surplus or obsolete materials, stores or equipment, subject to paragraph C61 above.
- C64 To ensure that income received for disposal of an asset is properly banked and coded.
- C65 Assets for disposal should be identified and disposed of:
- a) at the most appropriate time;
 - b) when it is in the Council's best interests; and
 - c) for the best price (taking into account factors such as environmental issues).

Land, buildings and other assets

- C66 To ensure that leaseholders and other prospective occupiers of Council land are not allowed to take possession of or enter the land until a lease or agreement, in a form approved by the relevant Deputy Chief Executive, has been established as appropriate.

Moveable assets

- C67 To ensure that assets are identified, their location recorded and that they are appropriately marked.
- C68 The Deputy Chief Executives and Group Heads are responsible for all furniture and equipment in their departments. Wherever practicable, items will be marked as the property of the Council.
- C69 A central inventory of all furniture, fittings and equipment, plant and machinery will be maintained by the Group Head of Regeneration and Growth , with each Service providing details of all acquisitions and disposals. Services are to liaise with the Finance team
- C70 Council property may not be removed unless on Council business and with the written agreement of the Chief Executive, or Deputy Chief Executive concerned.
- C71 All items on the inventory will be checked annually by Group Heads, and any discrepancies reported to the Chief Finance Officer. As part of the annual check services are to review the condition of assets and take action in relation to surpluses or deficiencies, annotating the inventory accordingly. Attractive and portable items such as laptops, computer equipment, cameras and recording equipment should be identified with security markings as belonging to the Council.
- C72 The Chief Finance Officer will approve write-off of discrepancies, except where the authority of the Corporate Policy and Resources Committee is required under paragraphs D20 to D22 below.
- C73 The Deputy Chief Executives and Group Head for Neighbourhood Services may authorise the disposal of furniture and equipment with an estimated market value of up to £1,200 (per item or collectively). The Chief Finance Officer will approve disposal of more valuable items in writing.

- C74 To make sure that property is only used in the course of the Council's business unless the Chief Executive, or Deputy Chief Executive concerned has given permission otherwise.

Stocks and stores

- C75 The Chief Executive, Deputy Chief Executives and the Group Head for Neighbourhood Services are responsible for all stores held in their services. Wherever practicable, all items will be effectively marked as the property of the Council.
- C76 Stores held will not exceed reasonable requirements.
- C77 All goods received will be checked against the copy order at time of delivery and the supplier immediately notified of rejected goods.
- C78 All receipts, issues and balance of stock items will be properly recorded in a form agreed by the Chief Finance Officer.
- C79 The Chief Executive, Deputy Chief Executives and the Group Head for Neighbourhood Services will regularly check that items are accounted for, and arrange for continuous and independent stocktaking to be carried out. Any material shortfalls will be reported to the Chief Finance Officer. The Chief Executive, Deputy Chief Executives and the Group Head Neighbourhood Services will also arrange for stocktakes and the provision of signed stock certificates as at 31 March each year, as good management and to satisfy external audit requirements.
- C80 The write-off of shortfalls will be approved in writing by the Chief Finance Officer, except where the authority of the Policy and Resources Committee is required under paragraphs D20 to D22 below
- C81 The Deputy Chief Executives and Group Head for Neighbourhood Services may authorise the disposal of stores with an estimated market value of up to £1,200 (per item or collectively). The Chief Finance Officer will approve disposal of more valuable items in writing.
- C82 Where the disposal value is less than £1,200, the Group Head must dispose of the item in a fair and effective manner and keep a record of the disposal.
- C83 Procedures for disposal of such stocks and equipment where their value is over £1,200 should be by competitive quotations or auction unless the Chief Finance Officer advises otherwise in a particular case.

Cash

- C84 Maximum limits for cash holdings will be agreed with the Chief Finance Officer and not exceeded without their permission. Group Heads are to ensure cash holdings on premises are kept within the agreed limits. Group Heads to ensure that keys to safes and similar receptacles are carried on the person of those responsible whilst the site is occupied and removed from the premises when the site is unoccupied and to ensure that access codes, combinations and passwords remain confidential and are made available to the Finance team.

TREASURY MANAGEMENT

- C85 Treasury Management covers all activities associated with any monies borrowed (Loans) or invested (Investments) on behalf of the Council irrespective of the time period covered by the transactions. It also embraces the management and control of the Council's banking arrangements.
- C86 The Council has adopted CIPFA's "Code of Practice for Treasury Management in Local Authorities".
- C87 A Treasury Policy Statement setting out its strategy and procedures has been adopted by the Council, and its implementation and monitoring delegated to the Corporate Policy and Resources Committee.
- C88 All money (as defined in the Treasury Policy Statement) in the hands of the Council will be aggregated for the purposes of Treasury Management and be under the control of the Chief Finance Officer as the officer designated for the purposes of Section 151 of the Local Government Act, 1972.
- C89 The Chief Finance Officer is responsible for reporting to the Council a proposed treasury management and annual investment strategy for the coming financial year at or before the start of each financial year. The report will set out the proposed levels for the prudential treasury management indicators required by the CIPFA Prudential Code for Capital Finance in Local Authorities.
- C90 All executive decisions on borrowing, investment or financing will be delegated to the Chief Finance Officer, who is required to act in accordance with CIPFA's "Code of Practice for Treasury Management in Local Authorities", the Treasury Policy Statement and Systems Documentation.
- C91 All investments of the Council's funds will be made in the name of the Council by the Chief Finance Officer, unless the Council has authorised its investments to be made by an outside agent, when they should be in the name of Trustees for the Council.
- C92 All loans to the Council will be negotiated by the Chief Finance Officer and paid direct by the lender or their agent into the Council's bank account.
- C93 All stocks of interim loan receipts, temporary loan receipts and bond certificates will be controlled by the Chief Finance Officer.
- C94 The Chief Finance Officer is the only primary authorised signatory to any form of loan receipts, including such receipts issued under seal.
- C95 Repayment of loans will, wherever possible, be made through the head office of the Council's bankers in exchange for the original loan receipt.
- C96 The Chief Finance Officer is authorised to borrow temporarily pending receipt of money from Business Rates, loans, Council Tax, Government Grants and other income properly due to the Council, within the limit agreed by the Council each year.
- C97 The Chief Finance Officer will report to the Corporate Policy and Resources Committee twice each financial year on the activities of the Treasury

Management operation, and on the exercise of Treasury Management powers delegated to them. One of these reports will be an Annual Report on Treasury Management to be presented by 30 September of the succeeding financial year.

BANKING ARRANGEMENTS

- C98 The Chief Finance Officer is responsible for operating and supervising the Council's Bank and Giro Accounts, including ordering, custody and issue of all cheques. The Chief Finance Officer will review the Council's banking arrangements at least every 5 years.
- C99 The Chief Finance Officer, the Deputy Chief Finance Officer and the 1st signatory, and others approved in writing by the Chief Finance Officer, each have authority, in accordance with the mandate given to the bank, to sign cheques and be accepted as satisfactory signatories for any other purpose in connection with the Council's Bank and Giro Accounts.
- C100 All payment instructions for amounts of £21,000 and above require two authorising signatures, namely, the Chief Finance Officer or the Deputy Chief Finance Officer as the 1st signatory, and others approved in writing by the Chief Finance Officer as the 2nd signatory.
- C107 Where the Chief Finance Officer's signature or name, or that of their predecessor, is pre-printed on cheques or Giro-cheques, or is printed by computer or by cheque signing machine, adequate security arrangements will be made for the custody and control of both cheques and signature plates.
- C101 All banking accounts will be reconciled with the cash book each month.

PETTY CASH ACCOUNTS

- C102 When there is no easy access to the Cashiers at the Council offices, the Chief Finance Officer will advance petty cash balances to responsible staff members. An account of total petty cash spent with vouchers, certified by the Chief Executive, Deputy Chief Executives or person authorised by them, will be passed to the Chief Finance Officer for reimbursement. The petty cash account will be kept in a form and manner agreed by the Chief Finance Officer.
- C103 Use of petty cash will be kept to a minimum and limited to expenses which are unavoidably or conveniently payable in this manner. They will not include items over £30 unless agreed by the Chief Finance Officer.
- C104 Income received on behalf of the Council will not be paid into a petty cash account, but paid to the Council in accordance with paragraphs D8 –D19 below.
- C105 Officers responsible for petty cash accounts will give the Chief Finance Officer an annual certificate for each account balance by 15 April.
- C106 On returning a petty cash account, a staff member will account to the Chief Finance Officer for the amount advanced to them.
- C107 Petty cash and other floats will be available for inspection by audit.

Credit Cards

C108 Maximum limits for credit card facilities will be agreed by the Chief Finance Officer and these will not be exceeded without their permission. Group Heads and Service Managers are to authorise the monthly expenditure incurred by their staff who are authorised credit card users. No personal expenditure is to be incurred on an authorised council credit card and it is the responsibility of the authorised card holder to keep PIN numbers safe and immediately advise their manager and credit card provider if the card becomes cloned or lost.

Unofficial Funds

C109 Management Team is responsible for ensuring the proper administration of unofficial funds, that is any funds associated with Council business, supervised or managed by Council staff, but not part of the Council's funds, such as social funds in Day Centres.

C110 The Chief Finance Officer will be notified of any unofficial funds and give advice on keeping and auditing them.

C111 Any staff member holding unofficial funds will produce an accurate account in writing of all financial transactions, with associated supporting documentation.

PROTECTION OF PRIVATE PROPERTY IN THE TEMPORARY CUSTODY OF THE AUTHORITY/LOST PROPERTY

C112 The Chief Executive, and Deputy Chief Executives will ensure that details of any lost property is recorded before removal, that two officers certify the accuracy of the record, and that items are held securely until disposal.

C113 The Chief Executive, and Deputy Chief Executives will obtain proof of ownership prior to release of property.

C114 The Chief Executive, and Deputy Chief Executives will agree how to dispose of unclaimed items with the Chief Finance Officer.

SALARIES AND WAGES

C115 The Chief Finance Officer is responsible for the payment of all salaries, wages, compensation and any other sums to current and former employees.

C116 The Chief Executive, and Deputy Chief Executives will notify the Chief Finance Officer immediately of all appointments, resignations, or any other events affecting terms of employment or pay, including all sick absences, accidents on or off duty, or special leave without pay.

C117 Where required, time sheets in a form approved by the Chief Finance Officer will:-

- (a) be completed by the employees themselves unless illiterate, when the supervisor will complete them, with a note of the circumstances;
- (b) be certified by the appropriate supervisor unless otherwise agreed by the Chief Finance Officer; and
- (c) be forwarded to the Chief Finance Officer at a time agreed by them.

C118 Claims for expenses will be in a form approved by the Chief Finance Officer and signed by the Chief Executive, or Deputy Chief Executive concerned or their nominated staff member, to certify their accuracy and reasonableness. Claims must be submitted within seven days of the end of the month in which the expenditure was incurred.

CODE OF CONDUCT FOR EMPLOYEES

C119 The Staff Code of Conduct (Part 5b of this Constitution) applies to and will be followed by all staff members. It covers:

Standards, disclosure of information, political neutrality, relationships, appointments and other employment matters, outside commitments, personal interests, equality issues, separation of roles during tendering, sponsorship, gifts and hospitalit, and use of financial resources.

Financial Regulation D – Systems and Procedures

- D1 Sound systems and procedures are essential to an effective framework of accountability and control.

General

- D2 The Chief Finance Officer is responsible for the operation of the Council's IT systems for financial and business-related purposes, for accounting systems, the form of accounts and the supporting financial records. Any changes made to the existing financial systems or the establishment of new systems must be approved by the Chief Finance Officer. However, Group Heads are responsible for the proper operation of financial processes in their own departments.
- D3 Any changes to agreed procedures by Group Heads to meet their own specific service needs should be agreed with the Chief Finance Officer.
- D4 Group Heads should ensure that their staff receive relevant financial training which has been approved by the Chief Finance Officer.
- D5 Group Heads must ensure that, where appropriate, details of system containing personal data are provided to the Data Protection Officer so that where applicable they are registered in accordance with Data Protection legislation.
- D6 Group Heads must ensure that staff are aware of their responsibilities under the freedom of information legislation and comply with guidance issued by the Group Head of Commissioning and Transformation or the Group Head of Corporate Governance.

Income and expenditure

- D7 It is the responsibility of Group Heads to ensure that a proper scheme of delegation has been established within their area and is operating effectively. The scheme of delegation should identify staff members authorised to act on the Group Heads' behalf in respect of payments, income collection and for placing orders together with the limits of their authority.

The Chief Finance Officer is responsible for specifying the procedure to be followed in ordering, making payments, collecting income and approving procedures for writing off debts as part of the overall control framework of accountability and control.

Roles and responsibilities are defined within the Council's Scheme of Delegation and operationalised through the Sundry Debt Corporate Debt Process Map (Appendix B), ensuring a structured and transparent approach to debt recovery and write-offs.

A) Payment plans must include defined timeframes, minimum instalments, and approval thresholds. These arrangements must

be documented and reviewed quarterly by the Corporate Debt Group.

INCOME

Setting Fees and Charges

- D8 Fees and charges will be reviewed at least annually as part of the budget setting process.
- D9 Any changes or new charges will be agreed by the Corporate Policy and Resources Committee or the Chief Executive or Deputy Chief Executives, as set out in the constitution.

Invoicing and Collection of Income Due

Responsibilities of the Chief Finance Officer

- D10 The Chief Finance Officer is responsible for agreeing arrangements for the collection of all income due to the Council and approving the procedures, systems and documentation for its collection.
- D11 All receipt forms, books, tickets and similar items will be ordered and supplied to Services by the Chief Finance Officer.
- D12 The Chief Finance Officer is responsible for paying all monies received into the Council's bank, normally not later than the next business day.
- D13 To approve all debts to be written-off in accordance with the scheme of delegation.

Responsibilities of Chief Executive, Deputy Chief Executives, and Group Heads

- D14 The Chief Executive, or each of the Deputy Chief Executives will provide the Chief Finance Officer with details of all amounts due.

A) A monthly review of all suppressed accounts must be carried out by the Debt Recovery Officer. Holds must be lifted promptly once disputes are resolved or balances cleared.

- D15 All monies received by a staff member on behalf of the Council will be paid without delay to the Chief Finance Officer as follows, unless direct deposit with the Council's bankers is arranged.

Cash – daily
cheques exceeding £1,000 – daily
cheques not exceeding £1000 – within 3 days

All cheques and postal orders received in any part of the Council will be crossed with "Account Borough of Spelthorne".

- D16 Every sum received by a member of Council staff will be immediately acknowledged by the issue of an official receipt, ticket or voucher, except for cheques where the Chief Finance Officer may agree other arrangements.
- D17 Every transfer of official money from one staff member to another will be immediately acknowledged by the issue of a receipt or, where appropriate, by signature in a cash accounting record.
- D18 The Chief Finance Officer shall be notified of contracts, leases and other agreements and arrangements entered into which involve the receipt of money by the Council.
- D19 The Chief Executive, Deputy Chief Executives and Group Heads will notify the Chief Finance Officer of all income due before the end of the financial year but not yet invoiced, in accordance with the closure timetable prepared each year by the Chief Finance Officer.

A. Aged debt reports must include defined age bands and be reviewed by service areas prior to Corporate Debt Meetings, with Finance providing an annual summary of statute-barred or near-barred debt.

B. Customer Services maintain a centralised, auditable spreadsheet logging all credit note numbers against the relevant accounts, ensuring traceability and compliance with internal controls.

WRITE-OFFS OF INCOME, STOCKS, FURNITURE AND EQUIPMENT

- D20 The Chief Finance Officer may write off income or physical items with a value not exceeding £5,000, or an unlimited amount where bankruptcy, liquidation, administration, or receivership proceedings have been instigated. All write-off requests must be submitted exclusively through the Council's secure digital workflow system, including mandatory fields detailing the justification, supporting documentation, and confirmation of delegated authority approval.
- Automated routing within the system will ensure segregation of duties and full compliance with the Scheme of Delegation. In addition, a formal, independently verified reconciliation of all write-off transactions against authorised approval lists will be undertaken at defined intervals, with results reported to the Chief Finance Officer and the Audit Committee to maintain transparency, accountability, and comprehensive audit traceability. ~~The Chief Finance Officer may write off income or physical items with a value not exceeding £5,000 or unlimited where there is bankruptcy, liquidation proceedings, administration or receivership proceedings have been instigated.~~
- D21 Group Heads and the Deputy Group Head for Customer Services and Deputy Chief Executive (Chief Finance Officer) may write off debts for individual outstanding balances up to the following values:
- Council Tax to the value of £5,000
 - Business Rates to the value of £9,000
 - Housing Benefits to the value of £5,000
 - Sales Ledger to the value of £3,000

D22

Updated 27 February 2025

Financial Regulations

The Chief Finance Officer must maintain a comprehensive, up-to-date record of all income written off. In addition, an independent reconciliation of all write-off transactions against the approved authorisation lists will be conducted on a scheduled basis to ensure accuracy, compliance with delegated authority, and full audit traceability.

A) Credit Note and Invoice Cancellation Process. All credit notes and invoice cancellations must follow the Council's Scheme of Delegation, include justification and support documentation, and maintain an auditable trail. A Stage 2 validation step is mandatory for credit notes, requiring independent managerial approval.

~~An up to date record of all income written off will be maintained by the Chief Finance Officer, and an independent reconciliation of write off sums to approved lists for write off will be made periodically.~~

SPONSORSHIP

- D23 Where an outside organisation wishes to sponsor or is asked to sponsor a local government activity, whether by invitation, tender, negotiation or voluntarily, the basic conventions concerning acceptance of gifts and hospitality applies, as detailed in the Code of Conduct for Employees.
- D24 A Gifts, Hospitality and Sponsorship Register is maintained by Corporate Governance, where details of any sponsorship accepted by staff on behalf of the authority will be entered.

ORDERS FOR WORKS, GOODS AND SERVICES

Responsibilities of the Chief Finance Officer

- D25 The Chief Finance Officer will approve the form and control of all official orders.

Responsibilities of Chief Executive, Deputy Chief Executives and Group Heads

- D27 The Chief Executive, Deputy Chief Executives and Group Heads are responsible for the control and use of official orders in their respective services.
- D28 The Chief Finance Officer will be notified in writing of staff authorised to issue orders on behalf of the Chief Executive and Deputy Chief Executives, with specimen signatures and details of authority limits, in accordance with the delegations approved under paragraphs A20-A23 above. Group Heads are to ensure that their department reviews periodically a list of staff members approved to authorise invoices.
- D29 All orders will be issued through the financial system except in agreed circumstances, such as for supplies of gas and electricity services, petty cash purchases or where a formal contract is to be prepared.

- D30 If it is not practicable to issue an official order when an order is placed, one will be completed immediately afterwards by the staff member placing the order, and marked "Confirmation of telephone or verbal order"
- D31 Wherever possible the Council will seek to transmit to suppliers by electronic means official purchase orders.
- D32 Official orders will be goods receipted by the staff member responsible for the works or receiving goods. It is important to provide separation of duties between staff raising and goods receipting orders. The Chief Finance Officer will agree accounts to evidence of receipt before making payment.
- D33 As a general principle and subject to Contract Standing Orders, all purchases will be open to competition wherever reasonable and cost effective.

PAYMENT OF ACCOUNTS

Responsibilities of the Chief Finance Officer

- D34 The Chief Finance Officer is responsible for examining, verifying and certifying invoices and any other payment vouchers or accounts through the financial system. Any exceptions will be returned to originating officers for certification. Details of staff members authorised to sign such records will be sent to the Chief Finance Officer by the Chief Executive and each Deputy Chief Executive, together with specimen signatures and authority limits, in accordance with the delegations described at paragraphs A18-A21 above.
- D35 To ensure that all payments for works, goods, and services are made within the statutory 30 days (Late Payment of Commercial Debts (Interest) Act 1988) unless any other terms or conditions have been agreed in writing. Any interest incurred under that act will be recharged to the cost centre of the original payment.
- D36 The Chief Finance Officer will pay accounts due at set intervals, usually not less than once every week.
- D37 A register of periodical payments will be maintained by the Chief Finance Officer for control and monitoring purposes.

Responsibilities of Chief Executive, Deputy Chief Executives and Group Heads

- D38 The certifying officer will ensure:
- (a) the work, goods or services to which the account relates have been received, carried out, examined and approved;
 - (b) the prices, extensions, calculations, trade discounts, other allowances, credits and tax are correct and agree with the official order or contract;
 - (c) the relevant expenditure has been properly incurred and is within the relevant budget;
 - (d) appropriate entries have been made in inventories, stores records or other records as required;
 - (e) the account has not been previously passed for payment and is a proper liability of the Council; and

- (f) the correct expenditure code has been inserted in respect of each item.

- D39 For purchase of land or property, details of the purchase, the name of the vendor and the purchase price and acquisition expenses will be given in a statement for certification by the Chief Executive. Full details of such purchases will be entered in the official Asset Register, to be kept by the Chief Finance Officer.
- D40 The Chief Executive, and Deputy Chief Executives will notify the Chief Finance Officer of all outstanding expenditure relating to the previous financial year in accordance with the agreed closure timetable prepared each year by the Chief Finance Officer .
- D41 Group Heads are to ensure that invoices are passed for payment promptly to ensure they can be paid within 30 days.

CONTRACTS FOR BUILDING, CONSTRUCTION OR ENGINEERING WORK, ASSOCIATED MAINTENANCE CONTRACTS AND EMPLOYMENT OF CONSULTANTS

Contract Standing Orders

- D42 The Chief Executive, and Deputy Chief Executives will ensure compliance with the Council's Contract Standing Orders.

Tenders

- D43 The Chief Finance Officer will investigate the financial status of tenderers as necessary.
- D44 No contract will be entered into unless the Chief Executive, or relevant Deputy Chief Executive is confident of the tenderer's ability to complete the contract.
- D45 The Chief Executive, and Deputy Chief Executives will provide the Chief Finance Officer and the Corporate Procurement Manager with details of all contracts for entry into the contracts register.

Contract Register

- D46 The Chief Finance Officer will maintain an online up to date register of all contracts with a total value of more than £5,000. Purchase orders which have been properly authorised in accordance with the Contract Standing Orders, will not for this purpose constitute contracts.
- D47 The Deputy Chief Executives and Group Heads will be responsible for notifying the Chief Finance Officer and the Corporate Procurement Manager with details of all new contracts and forthcoming contracts necessary to enable the register to be maintained.

Contract Payments

- D48 Payments on account to contractors will only be made on a certificate issued by the supervising officer and signed by the relevant Group Head.
- D49 The payment certificate will show the total amount of the contract, the sum paid to date, the instalment certified, the balance remaining, the retention monies, and Value Added Tax (VAT).

- D50 The Chief Executive, or Deputy Chief Executive concerned is responsible for obtaining all necessary sub-contractors' tax certificates and forwarding them to the Chief Finance Officer prior to payment.
- D51 Under the Inland Revenue Construction Industry Scheme (IR14/15(CIS)) introduced 1 August 1999, payments cannot be made to sub-contractors unless a tax certificate has been obtained.

Variations

- D52 Where practical changes are necessary which do not alter the essential nature of the original contract, as opposed to additional works, goods or service, the Chief Executive, or relevant Deputy Chief Executive may approve such variations after consultation with the Chief Finance Officer, provided the cost of the proposed variation can be met from within the total budget approved for the contract and such variation also accords to the procedures in Contract Standing Orders.
- D53 Where the approved budget would be exceeded, approval for any variation must be obtained in accordance with the provisions for amendments to budgets within these regulations.
- D54 The reasons for and details, including cost, of every variation must be recorded on the relevant contract file, specifically authorised in writing by the supervising officer and endorsed by the Chief Executive or appropriate Deputy Chief Executive, and a copy supplied to the Chief Finance Officer at the time of issue.
- D55 Documented variation orders are not required where site instructions are issued for routine repairs under a maintenance contract, such as for park seat repairs, street cleaning or clearance of fly tipping, provided a budget is built into the contract to cover such work.

Final Account

- D56 The final certificate of completion will not be issued until the supervising officer has provided the Chief Finance Officer with a detailed statement of account and all relevant documents required.
- D57 The Chief Finance Officer will examine contract final accounts, make all necessary enquiries and receive any information and explanations they require to confirm the accuracy of the accounts.
- D58 Claims from contractors for matters not clearly within the terms of any existing contract will be referred to the Group Head of Corporate Governance to consider the Council's legal liability and, where necessary, to the Chief Finance Officer for financial consideration before a settlement is reached.

Agency Arrangements

- D59 As far as practicable, Financial Regulations apply to works entered into on behalf of a body from whom the Council has accepted delegated powers, or for whom the Council acts as an agent. The requirements of any such body should be followed if they differ from these Financial Regulations or Contract Standing Orders.

Consultants

D60 In the case of contracts entered into by the Council and supervised by consultants, any agreement with the latter should include a requirement to comply with the Council's Financial Regulations.

VALUE ADDED TAX (VAT)

D61 The Chief Finance Officer is responsible for maintaining all records, accounts and claims as directed by the Valued Added Tax Act, 1983.

VAT on Payments

D62 The Chief Finance Officer will take reasonable steps to ensure that the payment documentation provided by all suppliers of goods, works, or services conforms to the requirements of a proper VAT invoice.

VAT on Receipts

D63 Each staff member responsible for raising invoices on behalf of the Council will ensure within reason that the Council has complied with relevant Value Added Tax legislation regarding the supply of its services.

Exempt Supplies

D64 For services where VAT supplies are classified as Exempt under VAT regulations, officers will ensure that all activities are fully evaluated for VAT purposes and any tax implications are identified before any expenditure is committed or contractual arrangements made.

D65 The following are usually classified as Exempt activities under VAT rules:

Land & Buildings (unless have opted to tax)	Social Services	Education	Burial & Cremation
Insurance	Finance	Health	

Payments to employees and Councillors and co-opted members

D66 The Chief Finance Officer is responsible for paying all employees and allowances to Councillors and co-opted members.

MEMBERS' ALLOWANCES

D67 The Chief Finance Officer will make payments to any Members or co-opted members entitled to claim allowances on receipt of the proper form, completed and certified in accordance with the Council's scheme for allowances.

Taxation

D68 The Chief Finance Officer is responsible for advising Management Team/Group Heads, in the light of guidance issued by appropriate bodies and relevant legislation as it applies, on all taxation issues that affect the Council.

D69 The Chief Finance Officer is responsible for maintaining the Council's tax records, making all tax payments, receiving tax credits and submitting tax returns by their due date as appropriate.

Financial Regulation E – External Arrangements

- E1 The Council provides a distinctive leadership role in the community. As part of the Community Strategy it brings together other local public, private, voluntary and community sector organisations in partnership to address local needs.
- E2 A partner can be an organisation undertaking part funding or participating as a beneficiary in a project, or a body whose nature or status give it a right or obligation to support the project, or a body working on a joint venture with the Council for the delivery or acquisition of services.

Partnerships

- E3 The Corporate Policy and Resources Committee is responsible for approving partnership arrangements with other public, private, voluntary and community sector organisations to address local needs.
- E4 The Council and strategic committees can delegate functions – including those relating to partnerships – to staff. These are set out in the scheme of delegation that forms part of the Council’s Constitution and any subsequent delegations.
- E5 The Chief Executive is responsible for ensuring the due diligence and legality for all partnership arrangements.
- E6 Group Heads are responsible for informing the Chief Finance Officer and Group Head of Corporate Governance of partnership arrangements entered into so that they can ensure that accounting arrangements adopted relating to partnerships and joint ventures are satisfactory and that the overall corporate governance arrangements are satisfactory when contracts are arranged with external bodies. The Chief Finance Officer must ensure that the risks have been fully appraised before agreements are entered into with external bodies.

External funding

- E7 The Chief Finance Officer is responsible for ensuring that all funding notified by external bodies is received and properly recorded in the Council’s accounts.

Work for third parties

- E8 The Chief Finance Officer and the Group Head of Corporate Governance are responsible for approving the contractual framework for any work for third parties or external bodies.

GLOSSARY OF TERMS

Accrual	A sum included in the final accounts to cover income or expenditure attributable to that year but for which payment was not received/made during that year. Local authorities only accrue for revenue expenditure; capital expenditure is recorded on a receipts and payments basis.
Appropriation	The transfer of ownership of land or buildings from one service to another. Transfer of the purpose for holding land from one purpose to another.
Budget	A statement of the authority's plans for revenue and capital expenditure and income over a specified period of time.
Budget Head	A specific area of activity where expenditure may be incurred or income collected.
Capital Discharged	The amount of capital expenditure which has been paid for out of revenue or other sources.
	.
Capital Receipts	Proceeds from the sale of assets and other receipts of a capital nature over £10,000.
Capital Receipts Unapplied	Capital receipts not yet used for repayment of debt, or to finance capital expenditure.
Deferred Capital Receipts	Deferred Capital Receipts are the amounts derived from sales of assets which will be received in instalments over agreed periods of time.
Fidelity Guarantee	Insurance against fraudulent losses.
Government Grants	Sums paid by central Government towards either specific services or in aid of services generally.

Net Revenue Budget	
Outturn	The actual income and expenditure for a period or financial year as disclosed by the quarterly reports or final accounts.
Precept	A rate which the Council is required to levy on behalf of a non-rating authority, e.g. Surrey County Council.
Rateable Value	The annual assumed rental value of a property, to which rate poundages are applied to arrive at rates payable.
Reserves	Funds set aside to meet future revenue and capital expenditure on specific items or as a contingency against future losses.
Revenue Contributions to Capital Outlay (REFCUS)	The financing of capital expenditure directly from revenue, as permitted under statute.
Revenue Expenditure	The day to day costs of providing services, i.e., staff costs and overheads, such as, advertising, subscriptions and vehicle running costs.
Value for Money	<p>The National Audit Office (NAO) uses three criteria to assess the value for money of government spending i.e. the optimal use of resources to achieve the intended outcomes:</p> <p>Economy: minimising the cost of resources used or required (inputs) – spending less;</p> <p>Efficiency: the relationship between the output from goods or services and the resources to produce them – spending well; and</p> <p>Effectiveness: the relationship between the intended and actual results of public spending (outcomes) – spending wisely.</p>
Virement	The transfer of funds between budget heads, once approved by the Chief Financial Officer

Voted	Sums approved by councillors for expenditure against budget heads.
Working Balances	Sum provided within the accounts to meet those expenses which are incurred in advance of the receipt of income as well as for unforeseen contingencies.



Committee Report Checklist

Please submit the completed checklists with your report. If final draft report does not include all the information/sign offs required, your item will be delayed until the next meeting cycle.

Stage 1

Report checklist – responsibility of report owner

ITEM	Yes / No	Date
Councillor engagement / input from Chair prior to briefing		
Relevant Group Head review	Yes	
MAT+ review (to have been circulated at least 5 working days before Stage 2)	Yes	12/3/26
This item is on the Forward Plan for the relevant committee	Yes	
	Reviewed by	
Finance comments (circulate to Finance)		
Risk comments (circulate to Lee O’Neil)	Lee O’Neil	31.3.26
Legal comments (circulate to Legal team)	Linda Heron	13.3.26
HR comments (if applicable)	N/A	

For reports with material financial or legal implications the author should engage with the respective teams at the outset and receive input to their reports prior to asking for MO or s151 comments.

Do not forward to stage 2 unless all the above have been completed.

Stage 2

Report checklist – responsibility of report owner

ITEM	Completed by	Date rec’d
Monitoring Officer commentary – at least 5 working days before MAT	Linda Heron	13.3.26
S151 Officer commentary – at least 5 working days before MAT	Terry Collier	10.3.26
Commissioner engagement	P robinson	8.4.26
	Delete as applicable:	No issues Comments in S. 7
Confirm final report cleared by MAT		7.4.26

Corporate Policy and Resource Committee

20 April 2026

Title	Write-off report -Temporary Accommodation
Purpose of the report	To make a decision
Report Author	Sandy Muirhead Group Head Commissioning and Transformation Terry Collier Deputy Chief Executive and Section 151 Officer
Ward(s) Affected	All Wards
Exempt	Report – No Appendix A - Yes
Exemption Reason	Appendix A 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 Paragraph 2 – Information which is likely to reveal the identity of an individual, and in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.
Corporate Priority	Community Services
Recommendations	Committee is asked to: Approve the Sundry Debt write-off of £50,695 which relates to irrecoverable debt relating to eight Bed and Breakfast temporary accommodation cases and one emergency accommodation case.
Reason for Recommendation	To meet the requirements of the Council’s Financial Regulations and best practice by CIPFA we need to formally write-off debts over £3,000 which are unrecoverable.

1. Executive summary of the report *(expand detail in Key Issues section below)*

What is the situation	Why we want to do something
<ul style="list-style-type: none"> From time to time there can be a few sundry debts which are irrecoverable despite best efforts to recover them. Currently, nine such debts above officers’ delegated levels have been 	<ul style="list-style-type: none"> To meet the requirements of the Council’s Financial Regulations and best practice by the Chartered Institute of Public Finance and Accountancy

identified in relation to eight Bed and Breakfast cases and one relating to emergency accommodation costs.	(CIPFA) we need to formally write-off debts that are irrecoverable.
This is what we want to do about it	These are the next steps
<ul style="list-style-type: none"> To formally write-off the debts as required. 	<ul style="list-style-type: none"> To write-off these Bed and Breakfast debts and emergency accommodation debt but continue with our recovery procedures to minimise write-offs as far as possible.

2. Key issues

- 2.1 The Council has clear recovery and write-off procedures for non-payments as outlined in the Corporate Debt Policy and Financial Regulations. The write-off requests included in this report are for an amount above the £3,000 delegated limit to officers contained in the Council's Financial Regulations and Corporate Debt Policy. Therefore, the write offs listed in Appendix A require Committee approval.
- 2.2 In certain cases, despite pursuing the debt, it becomes irrecoverable for various reasons. Appendix A provides details of the nine cases being requested for write off. The appendix provides reasons why monies owed cannot be recovered. This is often due to being unable to trace the person concerned to a new address. As these cases have reached the end of the recovery process and are deemed irrecoverable, the service recommends that they be written off.
- 2.3 Eight out of the nine cases submitted cover the period 2022-2024; the remaining one is an aged debt dating back to 2019/2020.
- 2.4 Since the updating of the Corporate Debt Policy in March 2025 the Recovery Team for sundry debts has been strengthened and they are working with services to both clear any aged debt and put in place processes which minimise future debt build up and are ensuring any service debt is managed in a timely manner. Since implementing the revised sundry debt recovery processes, cases with no valid address or with unpaid debt despite multiple contact attempts (email, phone, letters) are referred to enforcement agents for tracing. All cases submitted for Committee write-off have been passed to enforcement agents, who have been unable to obtain a current address or response from the debtors.
- 2.5 In parallel to this report is a request to update both the corporate debt policy and financial regulations in line with audit recommendations which will further tighten up policies in relation to debt and its recovery.

3. Options proposal

- 3.1 Option 1 It is proposed that the debt amount of £50,695 is written off. This is because no further action can be taken to recover these debts as all

procedures to do so have been undertaken, and it is good accounting practice in such cases to write them off and as such, no other options are available.

- 3.2 Option 2 To not write off debt is not considered good practice by CIPFA and would lead to considerable amounts of aged debt on the Council's accounts which could not be collected.

4. Risk implications

- 4.1 By having effective, robust governance arrangements in place to identify, manage and reduce risk of such debts the Council can minimise the risk of bad debts arising.
- 4.2 The Council is potentially exposed to the risk of sundry debtors not paying and despite chasing debts not being paid and so showing as aged debt on the Council's accounts. However, through the work of the corporate debt recovery team with individuals services the Council has put in governance arrangements to minimise the risk of such debts requiring write offs.

5. Financial implications

- 5.1 The proposed write-off is covered by the sundry bad debt provision. The 2025-26 opening balance of the provision is £1.2m. Work is under way to calculate and validate the 2025-26 closing provisions balance which will be completed by mid-April 2026 and reported to the CPRC meeting. The provision is made in accordance with the CIPFA accounting code of practice, as of 31st March 2026.
- 5.2 The unrecoverable debt incurred for Bed and Breakfast costs is broken down per case in Appendix A below with the total proposed write-off of £50,695.
- 5.3 A balance needs to be achieved between not incurring expenditure chasing debts which are not going to be recovered and ensuring that the Council is seen to be robustly pursuing debtors through the process including use of recovery agents when all other processes have been completed. The Council has a Corporate Debt Policy and process in place as approved at Corporate Policy and Resources Committee on 24 March 2025; some amendments to the Policy are on the agenda of this meeting for consideration.

6. Legal comments

- 6.1 There are no legal implications arising directly from this report, but it should be noted that this report seeks to write off debts within the meaning of the Council's internal accounting protocols.
- 6.2 Debt and treasury management are within the remit of the Corporate Policy and Resources Committee (Part section (b) of the Constitution).

Corporate implications

7. Commissioners' comments

7.1 Commissioners are happy that the debts listed in the report are written off. The Council will be giving a more detailed report to Members setting out overall debt levels, the measures being taken for collection and the level of bad debt provision to the May meeting of CPRC.

8. S151 Officer comments

8.1 The Council does seek to rigorously pursue outstanding debt, but some cases are particularly challenging and need to be evaluated to weigh up the prospects of recovery against the costs of recovery. There is sufficient bad provision made on the Balance Sheet to cover this proposed debt write off.

9. Monitoring Officer comments

9.1 The Monitoring Officer confirms that all relevant legal implications have been taken into account.

10. Procurement comments

10.1 There are no procurement requirements in this report

11. Equality and Diversity

11.1 In seeking to recover debt we need to ensure we have an equitable approach to all, and this is ensured through our recovery policy Equality and Diversity provisions.

12. Sustainability/Climate Change Implications

12.1 Ensuring we maximise wherever possible debt assists our financial sustainability which contributes to the Council also achieving its social and environmental goals

13. Other considerations

13.1 In recovering debt procedures, the Council always takes account of personal circumstances where appropriate including, if necessary, payment plans. To further look at how we can assist the recovery process, we are exploring the use of a tracing service, including a free trial, to assess whether the potential recoveries would justify the cost.

14. Timetable for implementation

14.1 The agreed write-off should be actioned as soon as practicable.

15. Contact

15.1 Sandy Muirhead Group Head Commissioning and Transformation
Terry Collier Deputy Chief Executive and Section 151 Officer

***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 A Write off Debts.

By virtue of paragraph(s) 2 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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Committee Report Checklist

Please submit the completed checklists with your report. If final draft report does not include all the information/sign offs required, your item will be delayed until the next meeting cycle.

Stage 1

Report checklist – responsibility of report owner

ITEM	Yes / No	Date
Councillor engagement / input from Chair prior to briefing		
Relevant Group Head review	Yes	13/3/26
MAT+ review (to have been circulated at least 5 working days before Stage 2)	Yes	12/3/26
This item is on the Forward Plan for the relevant committee	Yes	
	Reviewed by	
Finance comments (circulate to Finance)	AB	12/3/26
Risk comments (circulate to Lee O’Neil)		
Legal comments (circulate to Legal team)	LH	13/3/26
HR comments (if applicable)		

For reports with material financial or legal implications the author should engage with the respective teams at the outset and receive input to their reports prior to asking for MO or s151 comments.

Do not forward to stage 2 unless all the above have been completed.

Stage 2

Report checklist – responsibility of report owner

ITEM	Completed by	Date rec’d
Monitoring Officer commentary – at least 5 working days before MAT	L Heron	13/3/26
S151 Officer commentary – at least 5 working days before MAT	T Collier	9/3/26
Commissioner engagement		
	Delete as applicable:	No issues Comments in S. 7
Confirm final report cleared by MAT		

Corporate Policy & Resources Committee

20 April 2026

Title	Corporate Key Performance Indicator Report – Quarter 3 2025/26
Purpose of the report	To inform and assure
Report Author	Sandy Muirhead – Group Head, Commissioning and Transformation Tim Snook - Sustainability and Resilience Lead Officer
Ward(s) Affected	All Wards
Exempt	No
Exemption Reason	N/A
Corporate Priority	Community Resilience Environment Services Addressing Housing Need
Recommendations	Committee is asked to: To consider the Corporate Key Performance Indicators (KPIs) data for Quarter 3 2025/26.
Reason for Recommendation	The Council has a suite of performance indicators which enable services for the Council to monitor performance over a financial year and address any issues if performance is faltering.

1. Executive summary of the report (*expand detail in Key Issues section below*)

What is the situation	Why we want to do something
<ul style="list-style-type: none"> Across the Council services have Key Performance Indicators which enable them to benchmark their performance year on year or quarter by quarter, depending on the KPI. The 2025/26 Q2 Corporate KPI performance results have been published to the Council’s external website, demonstrating the Council’s commitment 	<ul style="list-style-type: none"> To ensure transparency in activities and Performance To identify and take timely action to areas of emerging poor performance To demonstrate the delivery of services

to accountability and continuous improvement.	
This is what we want to do about it	These are the next steps
<ul style="list-style-type: none"> Ensure that KPIs are continued to be reported across the organisation to highlight the services performance and opportunities for improvement. 	<ul style="list-style-type: none"> Continue to monitor corporate KPIs on a quarterly basis, to highlight performance and identify opportunities for improvement in KPIs monitored to ensure they are still appropriate for 26/27 and update as appropriate. Publish Q3 Corporate KPI performance results on the Council Website, once the report has been acknowledged by Committee.

2. Key issues

- 2.1 Key Performance Indicators across services have been monitored in the Council on a quarterly or annual basis (**Appendix A**) resulting in a final Quarterly report. The resulting KPIs are colour coded where appropriate to provide guidance on whether they have been achieved or not.
- 2.2 The Council has established a robust framework of 33 Corporate KPIs for 2025/26, approved by CPRC in March 2025. Of these, 30 KPIs are actively monitored, while 3 (from Human Resources) are used solely for comparison.
- 2.3 The Corporate KPI report includes structured narratives for each KPI, providing valuable context and insight into performance trends. Additionally, background information on selected KPIs helps to explain their relevance and how they contribute to service delivery. This improved format supports more informed decision making and promotes greater transparency and engagement with performance data. Where metrics remain consistent or comparable, references to the previous year's figures are included to provide a more comprehensive view of the Council's performance. In cases where indicators have changed significantly, direct comparison is not possible.
- 2.4 It is important to note that some KPIs are expressed as percentages while others use absolute numbers because they measure different types of performance.
- 2.5 Please refer to the final Q3 report for the full KPIs in **Appendix A**.

Results

2.6 The Q2 performance report highlights:

- 2.7 Below is a table that provides a breakdown of the overall performance of the actively monitored KPI set according to their RAG score. Please refer to the report in **Appendix A** for further information.

RAG Category	Q2 Count	Q3 Count	Change (Number)	Change (Percentage Points)
Green	28	25	-3	-10 pp
Amber	2	2	0	0.0 pp
Red	0	3	+3	+10 pp

2.8 The current KPI's that are RAG scored RED are as follows:

- (a) **IL1** - Maintain the current number in the Older People Actively Living support group
- (b) **B1** - People and skills: number of full-time equivalent Registered Building Inspectors (RBI) resource allocated against number of projects requiring RBIs resource
- (c) **IL2** - DFG Applications completed within 6 months

2.9 Below is the narrative as to why the above KPIs have been scored RED:

- (a) **IL1** - We have lost clients to death & and permanent care homes.
- (b) **B1** - Additional resource of 1 FTE Registered Building Inspector joined the BC team on 12/1/26 which will assist with increasing resource and upskilling of the team. New KPIs are also being brought in for 26/27 in line with Building Safety Regulator requirements.

2.10 **IL2** - Around 60% of grants are home owners / private landlords these are completed within the 6 months, the other 40% are A2D, due to their delay in approving works this can add an additional 6 months + (please note this time frame excludes children cases where top is required from SCC as their time frames are anywhere between 9-12 months). It should be noted that there is a statutory requirement to determine all DFG applications within 6 months. The Council achieves this target but as stated is limited by delays in A2D properties for completing works.

3. Options proposal

3.1 As this is a "to acknowledge" report presented for information only, no decision is required at this stage. Therefore, an options analysis has not been included

4. Risk implications

4.1 Extenuating circumstances can mean key performance indicators are not achieved, and this will vary with the service concerned.

4.2 There is a potential risk to changes in legislation which could impact the accuracy or relevance of certain performance statistics. Where feasible, services will assess and adapt the affected KPIs to reflect any legislative changes, ensuring continued relevance and reliability in performance reporting.

4.3 If poor performance is identified through KPI monitoring, services will investigate the underlying causes and implement appropriate mitigation measures. This proactive approach ensures that issues are addressed

promptly and that continuous improvement remains a core focus across the organisation.

5. Financial implications

There are no financial implications. The report covers Corporate KPIs for services and provides performance information

6. Legal comments

- 6.1 Performance Management is within the remit of Corporate Policy and Resources Committee; other than that, there are no legal implications arising directly from this report.

Corporate implications

7. Commissioners' comments

- 7.1 Commissioners confirmed that subject to 2 amendments to text on KPIs (which have been made) the report is agreed.

8. S151 Officer comments

9. There are no direct financial implications arising directly from this report, as the resources are in place and funded from budget to monitor the KPIs. Having a robust and thorough range of KPIs can help identify potential issues with financial consequences.

10. Monitoring Officer comments

- 10.1 The Monitoring Officer confirms that all relevant legal implications have been taken into account.

11. Procurement comments

- 11.1 There are no procurement implications arising directly from this report

12. Equality and Diversity

- 12.1 Services should take account of any equality and diversity issues that impact on delivery of services and therefore on Corporate KPIs.

13. Sustainability/Climate Change Implications

- 13.1 All services need to build climate change actions within their service activities to meet the Council's corporate plan and climate change strategy actions and targets.

14. Other considerations

14.1 Not applicable

15. Timetable for implementation

15.1 Corporate KPIs will be reported quarterly to Corporate Policy and Resources Committee, and an annual report will be produced at the end of the 2025/26. A review of KPIs is underway for 26/27 so there may be some additions and deletions to the corporate KPIs for 26/27 so they are more appropriate and reflect performance more accurately.

16. Contact

16.1 Sandy Muirhead – s.muirhead@spelthorne.gov.uk

16.2 Tim Snook – t.snook@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: There are none.

Appendices:

List as Appendix A, CORPORATE KPI Q3 2025_26_REPORT.

RAG Score Key

- Green** = Meets 100% of target value
- Amber** = Within 5% of the target value
- Red** = Over 5% of the target value

Spelthorne Borough Council
Corporate Key Performance Indicators Report

Quarter 3 2025/26

Ref.	Indicator and Corporate Priority	RAG
Community		
C1	<u>Post 2 social media messages per day</u>	Green
C2	<u>Publish Bulletin magazine 3x a year</u>	Green
E1	<u>Number of supported businesses through direct engagement.</u>	Green
EH1	<u>% Ratio of food businesses with food hygiene rating scores of 3-5 compared to those scoring 0-2.</u>	Green
IL1	<u>Maintain the current number in the Older People Actively Living support group</u>	Red
Addressing Housing Need		
H1	<u>Number of households living in temporary accommodation on the last day of the quarter</u>	Green
H2	<u>Number of homelessness cases prevented in quarter</u>	Green
Resilience		
A1	<u>Rent Collection</u>	Green
A2	<u>Accurate Budget setting and monitoring for income and expenditure across the portfolio, every financial year.</u>	Green
I1	<u>Helpdesk calls</u>	Green
CS1	<u>Sundry Debt Collection Rates</u>	Green
CS2	<u>Percentage of Council tax collected</u>	Green
CS3	<u>Percentage of NNDR collected</u>	Green
HR1	<u>Percentage of staff turnover</u>	For info only
HR2	<u>Average number of working days lost to staff sickness absence - short-term</u>	For info only
HR3	<u>Average number of working days lost to staff sickness absence – long-term</u>	For info only

[Click here to view benchmarking performance](#)



Spelthorne Borough Council Corporate Key Performance Indicators Report

Quarter 1 2025/26

Ref.	Indicator and Corporate Priority	RAG
Environment		
CC1	<u>Reduction to meet Net Zero Scope 1 and 2 emissions by 2030 target. We are also only reporting on gas and electricity consumption.</u>	Green
N1	<u>Recycling rate (NI192)</u>	Green
N2	<u>Average length of time to remove fly tips</u>	Green
Services		
H3	<u>Average number of days taken to assess new Housing Benefit claims - cumulative year to date</u>	Green
H4	<u>Average number of days taken to assess change in circumstances for Housing Benefit claims - cumulative year to date.</u>	Green
B1	<u>People and skills: number of full-time equivalent Registered Building Inspectors (RBI) resource allocated against number of projects requiring RBIs resource</u>	Red
P1	<u>Quality of Non-Major Development (Apr 22 - Mar 24)</u>	Green
P2	<u>Quality of Major development (Apr 22 - Mar 24)</u>	Green
P3	<u>Percentage of appeals dismissed against the Council's refusal of planning permission</u>	Green
P4	<u>Percentage of decisions on major applications made within 13 weeks</u>	Green
P5	<u>Percentage of decisions on minor applications made within 8 weeks.</u>	Green
P6	<u>Percentage of decisions on other applications made within 8 weeks.</u>	Green
P7	<u>Percentage of planning enforcement investigations commenced within timeframes</u>	Green
F1	<u>% of undisputed invoices paid within 30 days</u>	Amber
N3	<u>% Missed refuse bins reported by 2pm and collected by the end of the next working day</u>	Amber
IL2	<u>DFG Applications completed within 6 months</u>	Amber
L1	<u>Run community leisure activities in our less advantaged areas, working with community groups to deliver & promote these.</u>	Green

C1 - Communications Performance

Corporate Priority	Community				
KPI Description	Post 2 social media messages per day.				
Target	100%				
Service Area	Communications				
Group Head	Jennifer Medcraft				
Narrative					
		Year	Qtr.	Actual	RAG
		2025/26	Q1	171%	Green
			Q2	100%	Green
			Q3	100%	Green
			Q4		

C2 - Communications Performance

Corporate Priority	Community				
KPI Description	Publish Bulletin magazine 3x a year				
Target	100%				
Service Area	Communications				
Group Head	Jennifer Medcraft				
Narrative					
		Year	Qtr.	Actual	RAG
		2025/26	Q1	100%	Green
			Q2	100%	Green
			Q3	100%	Green
			Q4		

E1 – Economic Development Performance

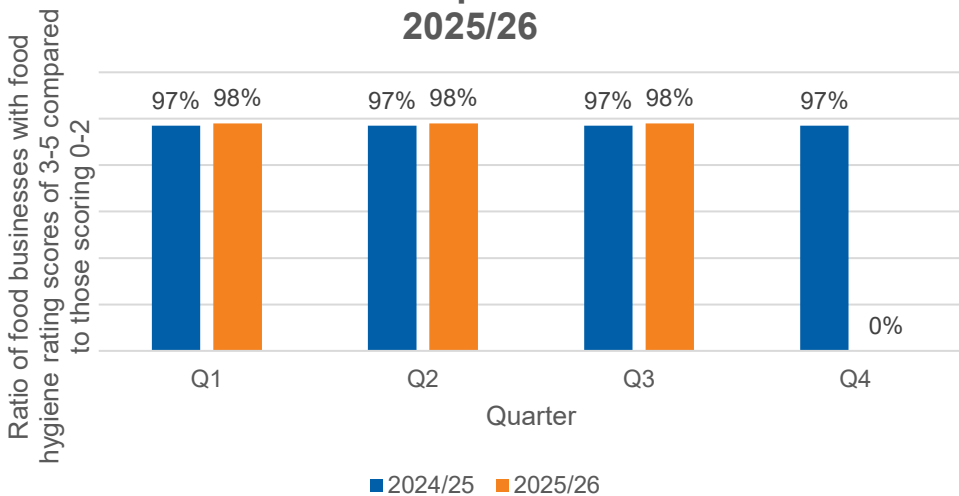
Corporate Priority	Community, Resilience																					
KPI Description	Number of supported business through direct engagement																					
Target	200 per annum																					
Service Area	Economic Development																					
Group Head	David Anderson																					
Narrative	We have now exceeded targets (270/200) Hosted the SBA which included supporting businesses finalising applications - 10 Dec - Business Growth Service commenced - 10 General engagement (meetings etc.) - 10 Lunch & Learn in the Business Hub - 30 Business Spelthorne Launch - 60																					
		<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>120</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>30</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>120</td> <td>Green</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>				Year	Qtr.	Actual	RAG	2025/26	Q1	120	Green	Q2	30	Green	Q3	120	Green	Q4		
Year	Qtr.	Actual	RAG																			
2025/26	Q1	120	Green																			
	Q2	30	Green																			
	Q3	120	Green																			
	Q4																					

EH1 – Environmental Health Performance

Corporate Priority	Community	<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>98%</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>98%</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>98%</td> <td>Green</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>	Year	Qtr.	Actual	RAG	2025/26	Q1	98%	Green	Q2	98%	Green	Q3	98%	Green	Q4		
Year	Qtr.		Actual	RAG															
2025/26	Q1		98%	Green															
	Q2		98%	Green															
	Q3		98%	Green															
	Q4																		
KPI Description	% Ratio of food businesses with food hygiene rating scores of 3-5 compared to those scoring 0-2.																		
Target	92% per quarter																		
Service Area	Environmental Health																		
Group Head	David Anderson																		
Narrative	This result is dependent upon food inspections and can fluctuate depending on standard at the time of inspection. This is showing high compliance in food businesses in the borough																		

Background information

Year on Year Comparison: 2024/25 vs 2025/26

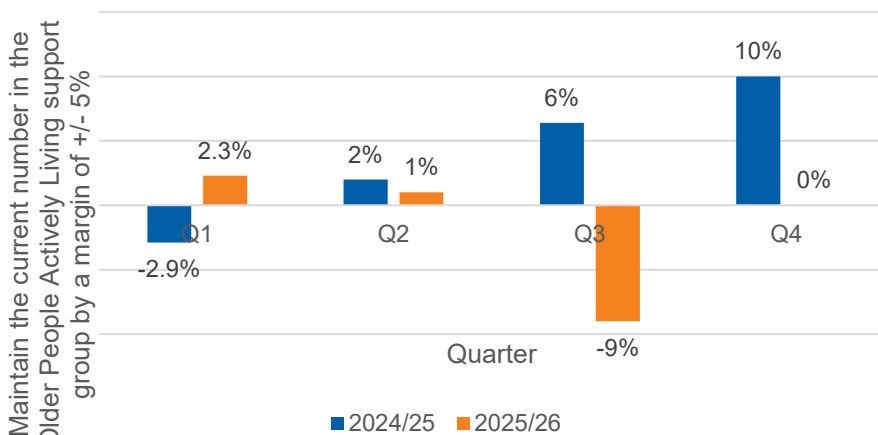


IL1 – Independent Living Performance

Corporate Priority	Community	Year	Qtr.	Actual	RAG
KPI Description	Maintain the current number in the Older People Actively Living support group	2025/26	Q1	+ 2.3%	Green
Target	Margin of +/- 5%		Q2	+ 1 %	Green
Service Area	Independent Living		Q3	- 9%	Red
Group Head	Karen Sinclair		Q4		
Narrative	We have lost clients to death & and permanent care homes				

Background information

Year on Year Comparison: 2024/25 vs 2025/26

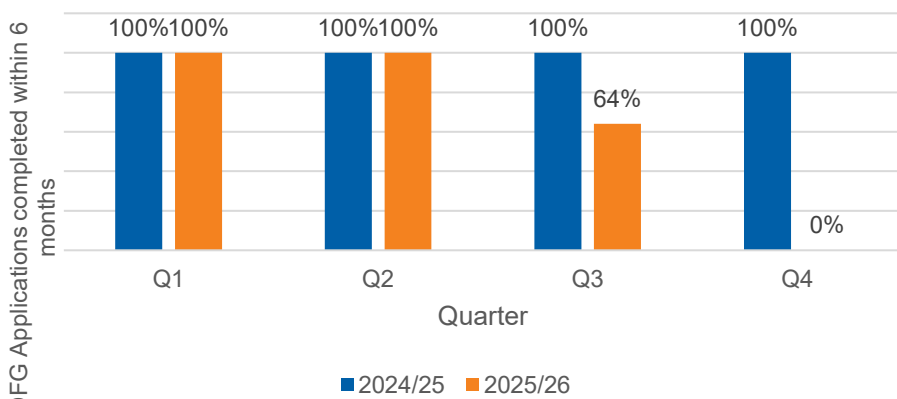


IL2 – Independent Living Performance

Corporate Priority	Community; Services	<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>100%</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>100%</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>64%</td> <td>Amber</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>	Year	Qtr.	Actual	RAG	2025/26	Q1	100%	Green	Q2	100%	Green	Q3	64%	Amber	Q4		
Year	Qtr.		Actual	RAG															
2025/26	Q1		100%	Green															
	Q2		100%	Green															
	Q3		64%	Amber															
	Q4																		
KPI Description	DFG Applications completed within 6 months																		
Target	95%																		
Service Area	Independent Living																		
Group Head	Karen Sinclair																		
Narrative	<p>Around 60% of grants are home owners / private landlords these are completed within the 6 months, the other 40% are A2D, due to their delay in approving works this can add an additional 6 months + (please note this time frame excludes children cases where top is required from SCC as their time frames are anywhere between 9-12 months) It should be noted that there is a statutory requirement to determine all DFG applications within 6 months. The Council achieves this target but as stated is limited by delays in A2D properties for completing works</p>																		

Background information

Year on Year Comparison: 2024/25 vs 2025/26

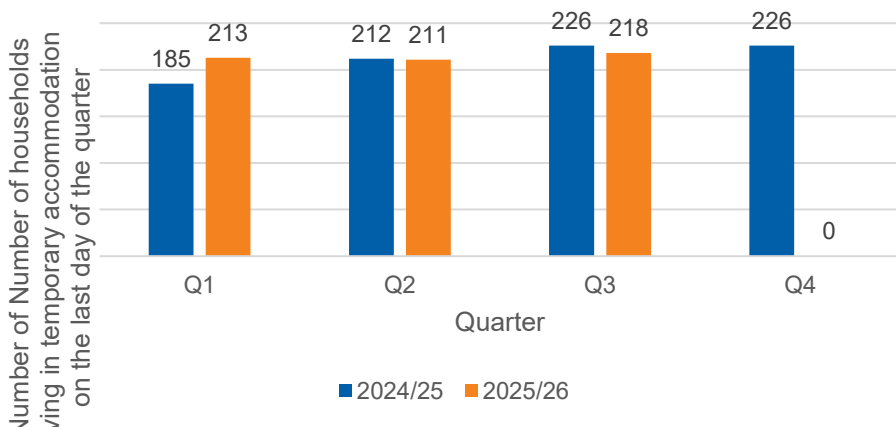


H1 – Housing Options Performance

Corporate Priority	Addressing Housing Need	<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>213</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>211</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>218</td> <td>Green</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>				Year	Qtr.	Actual	RAG	2025/26	Q1	213	Green	Q2	211	Green	Q3	218	Green	Q4		
Year	Qtr.	Actual	RAG																			
2025/26	Q1	213	Green																			
	Q2	211	Green																			
	Q3	218	Green																			
	Q4																					
KPI Description	Number of Number of households living in temporary accommodation on the last day of the quarter																					
Target	(no more than) 250																					
Service Area	Housing Options																					
Group Head	Karen Sinclair																					
Narrative	Figures are similar to the previous quarter and are well within the target range.																					

Background information

Year on Year Comparison: 2024/25 vs 2025/26

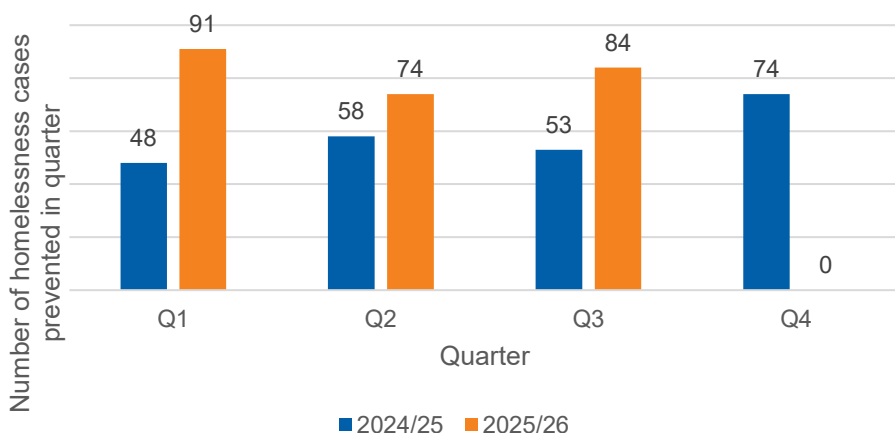


H2 – Housing Options Performance

Corporate Priority	Addressing Housing Need	<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>91</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>74</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>84</td> <td>Green</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>	Year	Qtr.	Actual	RAG	2025/26	Q1	91	Green	Q2	74	Green	Q3	84	Green	Q4		
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	Q2		74	Green															
	Q3		84	Green															
	Q4																		
KPI Description	Number of homelessness cases prevented in quarter																		
Target	120 per annum																		
Service Area	Housing Options																		
Group Head	Karen Sinclair																		
Narrative	Increase from Q2 figures, but current rolling figure is over double the annual target.																		

Background information

Year on Year Comparison: 2024/25 vs 2025/26

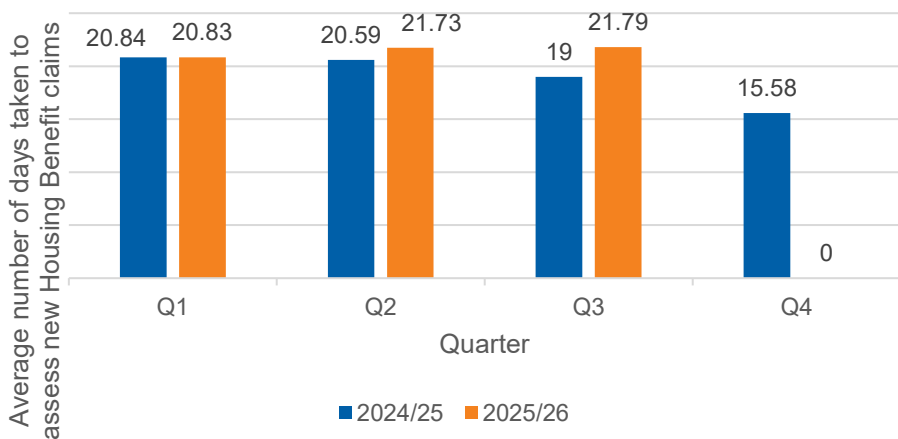


H3 – Housing Benefit Performance

Corporate Priority	Services	<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>20.83</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>21.73</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>21.79</td> <td>Green</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>	Year	Qtr.	Actual	RAG	2025/26	Q1	20.83	Green	Q2	21.73	Green	Q3	21.79	Green	Q4		
Year	Qtr.		Actual	RAG															
2025/26	Q1		20.83	Green															
	Q2		21.73	Green															
	Q3		21.79	Green															
	Q4																		
KPI Description	Average number of days taken to assess new Housing Benefit claims																		
Target	25 days																		
Service Area	Housing Benefit																		
Group Head	Karen Sinclair																		
Narrative	Increased by 0.06 days from Q2 but still within target																		

Background information

Year on Year Comparison: 2024/25 vs 2025/26

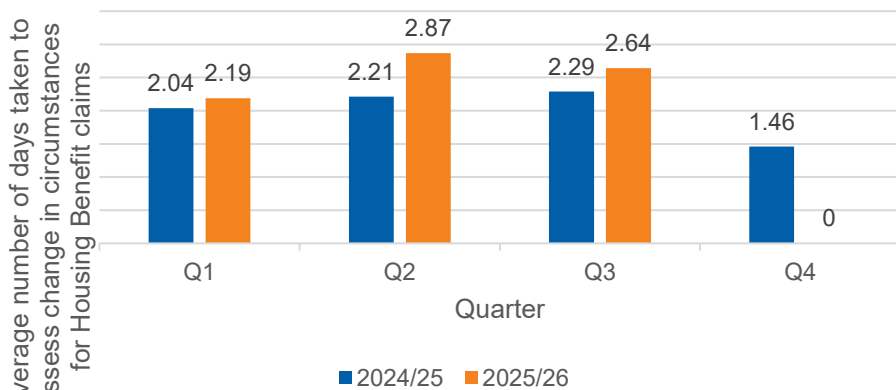


H4 – Housing Benefit Performance

Corporate Priority	Services	<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>2.19</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>2.87</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>2.64</td> <td>Green</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>	Year	Qtr.	Actual	RAG	2025/26	Q1	2.19	Green	Q2	2.87	Green	Q3	2.64	Green	Q4		
Year	Qtr.		Actual	RAG															
2025/26	Q1		2.19	Green															
	Q2		2.87	Green															
	Q3		2.64	Green															
	Q4																		
KPI Description	Average number of days taken to assess change in circumstances for Housing Benefit claims.																		
Target	7 days																		
Service Area	Housing Benefit																		
Group Head	Karen Sinclair																		
Narrative	Reduced by 0.23 days from Q2 - improvement on target																		

Background information

Year on Year Comparison: 2024/25 vs 2025/26

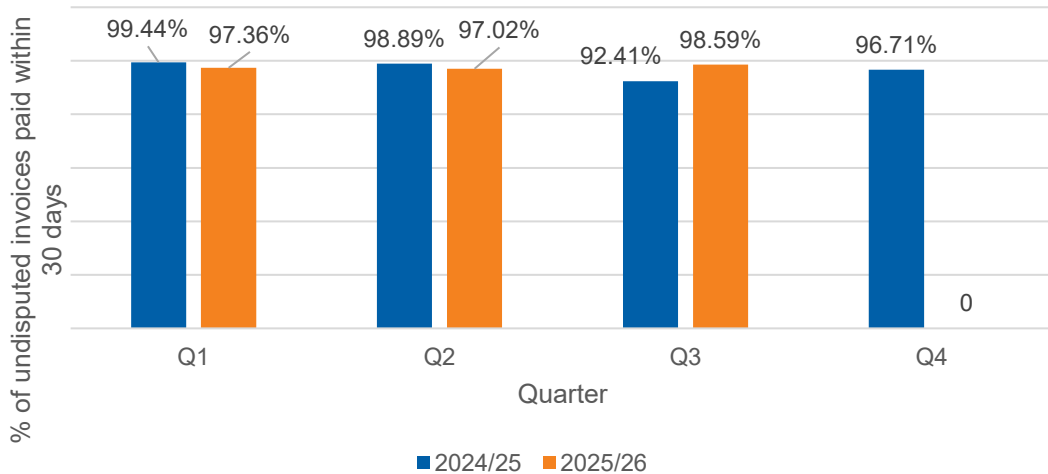


F1 – Finance Performance

Corporate Priority	Services					
KPI Description	% of undisputed invoices paid within 30 days	2025/26	Year	Qtr.	Actual	RAG
Target	100%		Q1		97.36%	Amber
Service Area	Finance (income and payments)		Q2		97.02%	Amber
Group Head	Altin Bozhani		Q3		98.59%	Amber
Narrative	This is based on 34 invoices paid late out of a total of 2404 invoices paid but there are improvements from Q2 to Q3		Q4			

Background information

Year on Year Comparison: 2024/25 vs 2025/26



I1 – ICT Performance

Corporate Priority	Resilience	Year	Qtr.	Actual	RAG
KPI Description	Helpdesk Calls	2025/26	Q1	61.98%	Green
Target	50% closed within 24 hours		Q2	55.89%	Green
Service Area	ICT		Q3	63.91%	Green
Group Head	Sandy Muirhead		Q4		
Narrative					

CS1 – Customer Services Performance

Corporate Priority	Resilience	Year	Qtr.	Actual	RAG
KPI Description		2025/26	Q1	74.75%	Green
Target	90% cumulative over the year		Q2	63.11%	Green
Service Area	Customer Services		Q3	84.07%	Green
Group Head	Sandy Muirhead		Q4		
Narrative	Sundry debt collection is influenced by payment terms, debtor type, and legal or contractual delays. Quarterly figures reflect collection within each period, not cumulative performance, and may fluctuate due to timing of large or delayed invoices. As a cumulative figure the Q4 outturn will confirm or otherwise target is achieved				

Background information

Year on Year comparison: 2024/25 vs 2025/26

Qtr.	2024/25	2025/26
Q1	76.26%	74.75% ↓
Q2	62.78%	63.11% ↑
Q3	92.67%	84.07% ↓
Q4	80.39%	

↑ = Increase
 ↓ = Decrease
 → = No change

CS2 – Customer Services Performance

Corporate Priority	Resilience	Year	Qtr.	Actual	RAG
KPI Description	Percentage of Council tax collected	2025/26	Q1	29.6%	Green
Target	98.5% cumulative over the year		Q2	57.20%	Green
Service Area	Customer Services		Q3	84.55%	Green
Group Head	Sandy Muirhead		Q4		
Narrative	<p>Percentage is calculated as the total Council Tax received so far this year, compared to the total amount due for the year, based on a standard 10-month billing period.</p> <p>Council tax collection in Spelthorne is influenced by payment schedules, council tax support schemes, economic conditions and local recovery practices. True collection performance cannot be fully assessed until the final instalment period has passed, as many accounts are paid later in the year and interim figures may not reflect final outcomes. Decrease from last year Q3 which was 85.50%</p>				

Background information

Year on Year Comparison: 2024/25 vs 2025/26

Qtr.	2024/25	2025/26
Q1	29.5%	29.60% ↑
Q2	57.7%	57.20% ↓
Q3	85.5%	84.55% ↓
Q4	97.4%	

↑ = Increase

↓ = Decrease

→ = No change

CS3 – Customer Services Performance

Corporate Priority	Resilience	Year	Qtr.	Actual	RAG
KPI Description	Percentage of NNDR collected	2025/26	Q1	34.42%	Green
Target	98% cumulative over the year		Q2	60.53%	Green
Service Area	Customer Services		Q3	85.41%	Green
Group Head	Sandy Muirhead		Q4		
Narrative	<p>Percentage is calculated as the total Business Rate received so far this year, compared to the total amount due for the year, based on a standard 10-month billing period.</p> <p>Business rates collection is influenced by payment plans, reliefs, economic conditions, and enforcement activity, and may not be fully measurable until the final instalment period has passed. increase from last year Q3 which was 85.30%</p>				

Background information

Year on Year Comparison: 2024/25 vs 2025/26

Qtr.	2024/25	2025/26
Q1	34.1%	29.60% ↓
Q2	58.4%	60.53% ↑
Q3	85.3%	85.41% ↑
Q4	97.9%	

↑ = Increase

↓ = Decrease

→ = No change

HR1 – Human Resources Performance

Corporate Priority	Resilience	Year	Qtr.	Actual	RAG
KPI Description	Percentage of staff turnover	2025/26	Q1	15.38%	For Info Only
Target	For comparison		Q2	15.38%	For Info Only
Service Area	Human Resources		Q3	14.89%	For Info Only
Group Head	Sandy Muirhead		Q4		
Narrative	This is a rolling year-to-date figure calculated from the total number of staff leaving (voluntarily and non-voluntary) as a percentage of total staff in post. Slightly higher than last quarter due to high turnover in the family support team.				

HR2 – Human Resources Performance

Corporate Priority	Resilience	Year	Qtr.	Actual	RAG
KPI Description	Average number of working days lost to staff sickness absence – short term.	2025/26	Q1	3.10 days	For Info Only
Target	For Comparison		Q2	2.93 Days	For info only
Service Area	Human Resources		Q3	2.76 Days	For info only
Group Head	Sandy Muirhead		Q4		
Narrative	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.				

HR3 – Human Resources Performance

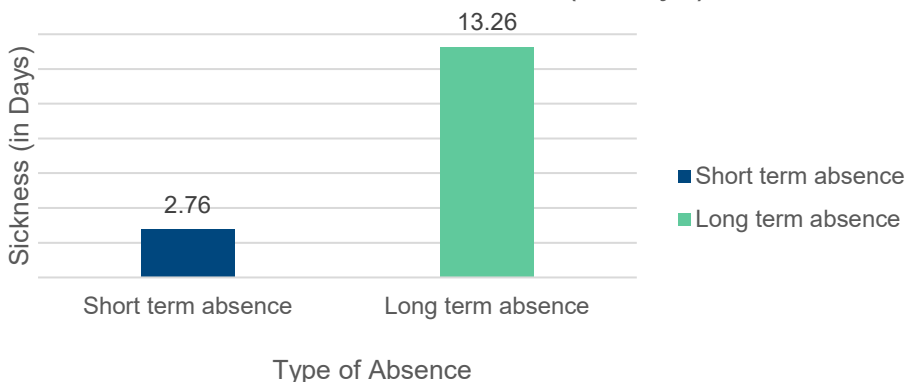
Corporate Priority	Resilience	Year	Qtr.	Actual	RAG
KPI Description	Average number of working days lost to staff sickness absence – Long Term	2025/26	Q1	15.60 days	For Info Only
Target	For comparison		Q2	14.43 days	For info only
Service Area	Human Resources		Q3	13.26 days	For info only
Group Head	Sandy Muirhead		Q4		
Narrative	Rolling year to date number of working days/shifts lost due to long term sickness absence. This is calculated by the number of long-term sickness absence days divided by the number of FTE staff.				

Background information

Q2 Information

As this chart shows, there is a noticeable difference in sickness levels for Q2 to Q3. The trend will continue to be monitored.

Q3 Sickness absence (in days)



CC1 – Climate Change Performance

Corporate Priority	Environment																					
KPI Description	Reduction to meet Net Zero Scope 1 and 2 emissions by 2030 target.																					
Target	Reduce emissions by at least 148.84 (TCO ₂ e) each year. Actual figure represents quarterly reduction from FY 24/25.																					
Service Area	Climate Change																					
Group Head	Sandy Muirhead																					
Narrative	Due to data from certain properties being billed quarterly, data is received 3 months in arrears. Therefore, we are unable to provide accurate figures for Q3 until March 26.																					
		<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>89.94tCO₂e</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>118.54tCO₂e</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td></td> <td></td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>				Year	Qtr.	Actual	RAG	2025/26	Q1	89.94tCO ₂ e	Green	Q2	118.54tCO ₂ e	Green	Q3			Q4		
Year	Qtr.	Actual	RAG																			
2025/26	Q1	89.94tCO ₂ e	Green																			
	Q2	118.54tCO ₂ e	Green																			
	Q3																					
	Q4																					

N1 – Neighbourhood Services Performance

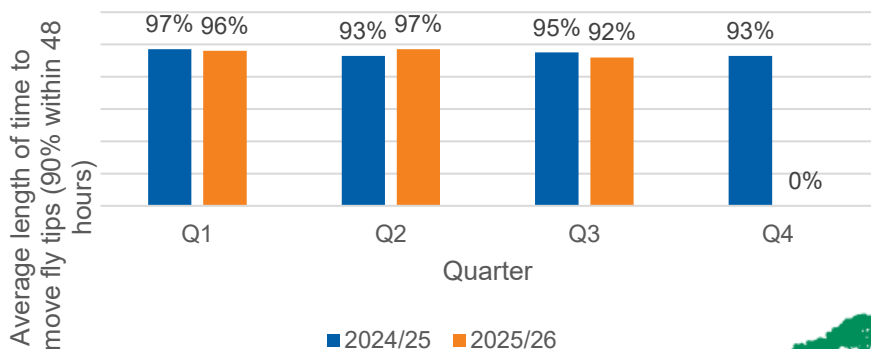
Corporate Priority	Environment	Year	Qtr.	Actual	RAG
KPI Description	Recycling rate - percentage of household waste recycled, reused and composted (NI192)	2025/26	Q1	45.50%	Green
Target	40%		Q2	42.40%	Green
Service Area	Neighbourhood Services		Q3	46.00%	Green
Group Head	Jackie Taylor		Q4		
Narrative	Rolling 12-month figure, calculated by comparing the amount of waste sent for recycling, reuse and composting against the total waste collected. This figure includes street sweepings. Data provided by the Surrey Environment Partnership. Q3 value is from Q2 2025-26 (Jul-Sept) as Q3 figures not known yet.				

N2 – Neighbourhood Services Performance

Corporate Priority	Environment	Year	Qtr.	Actual	RAG
KPI Description	Average length of time to remove fly tips	2025/26	Q1	96%	Green
Target	90% within 48 hours		Q2	97%	Green
Service Area	Neighbourhood Services		Q3	92%	Green
Group Head	Jackie Taylor		Q4		
Narrative	Fly tipping is an ongoing issue for Spelthorne as for many other authorities but as volumes increase there is a small dip in collection rates compared to Q3 in 2024/25				

Background information

Year on Year Comparison: 2024/25 vs 2025/26

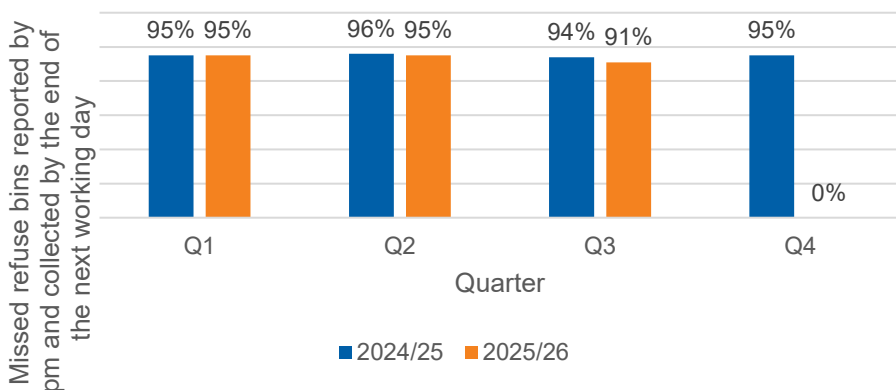


N3 – Neighbourhood Services Performance

Corporate Priority	Environment	<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>95%</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>96%</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>91%</td> <td>Amber</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>				Year	Qtr.	Actual	RAG	2025/26	Q1	95%	Green	Q2	96%	Green	Q3	91%	Amber	Q4		
Year	Qtr.	Actual	RAG																			
2025/26	Q1	95%	Green																			
	Q2	96%	Green																			
	Q3	91%	Amber																			
	Q4																					
KPI Description	% Missed refuse bins reported by 2pm and collected by the end of the next working day																					
Target	95% reported by 2pm and collected next working day																					
Service Area	Neighbourhood Services																					
Group Head	Jackie Taylor																					
Narrative	For Q3 there is a dip in collection of missed bins but this is being monitored to maintain future collection rates.																					

Background information

Year on Year Comparison: 2024/25 vs 2025/26



L1 – Leisure and Community Development Performance

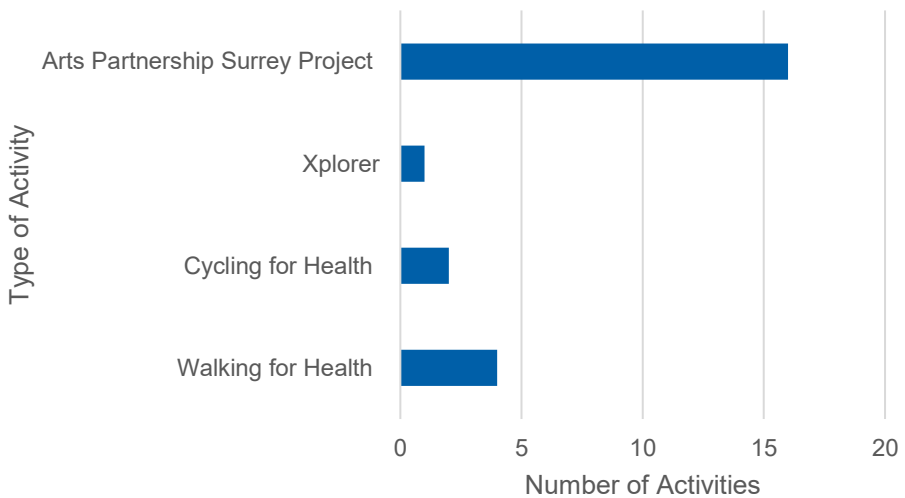
Corporate Priority	Community; Services	Year	Qtr.	Actual	RAG
KPI Description	Run community leisure activities in our less advantaged areas, working with community groups to deliver & promote these.	2025/26	Q1	28	Green
Target	At least 50 Community Leisure Activities delivered in target communities over the year		Q2	5	Green
Service Area	Leisure and Community Development		Q3	23	Green
Group Head	Karen Sinclair		Q4		
Narrative	On track for annual target. Q3 Running total: 56 The Service has exceeded its target predominantly as a result of collaborative working arrangements and additional funding drawn in from Arts Council England to deliver community arts initiatives through the Escalate Arts programme				

Background information

Q3 Information

As this chart shows, several varied Community Leisure activities were delivered in Q3.

Community leisure activities delivered in target communities



B1 – Building Control Performance

Corporate Priority	Services				
KPI Description	People and skills: number of full-time equivalent Registered Building Inspectors (RBI) resource allocated against number of projects requiring RBIs resource	Year	Qtr.	Actual	RAG
Target	4 FTE	2025/26	Q1	2 FTE	RED
Service Area	Building Control		Q2	1.6 FTE	RED
Group Head	David Anderson		Q3	1.6 FTE	RED
Narrative	Additional resource of 1 FTE Registered Building Inspector joined the BC team on 12/1/26 which will assist with increasing resource and upskilling of the team New KPIs are also being brought in for 26/27 in line with Building Safety Regulator requirements		Q4		

P1 – Development Management Performance

Corporate Priority	Services				
KPI Description	Quality of Non-Major Development (Apr 23 - Mar 25)	Year	Reporting Period	Actual	RAG
Target	10% or less	2025/26	Apr 23 – Mar 25	2.4%	Green
Service Area	Development Management				
Group Head	David Anderson				
Narrative	Number of non-major applications determined: 1229 Number of non-major appeals allowed: 30 New figures will be released in March 2026				

P2 – Development Management Performance

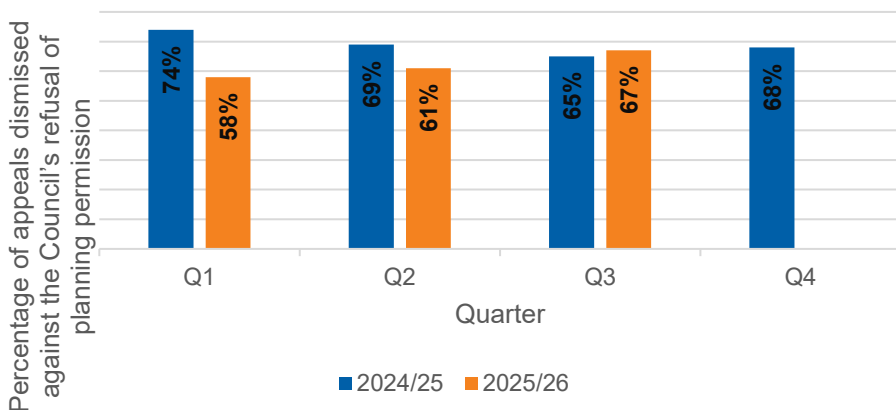
Corporate Priority	Services				
KPI Description	Quality of Major development (Apr 22 - Mar 24)	Year	Reporting Period	Actual	RAG
Target	10% or less	2025/26	Apr 23 – Mar 25	8.1%	Green
Service Area	Development Management				
Group Head	David Anderson				
Narrative	Number of major applications determined: 37 Number of major appeals allowed: 3 New figures will be released in March 2026				

P3 – Development Management Performance

Corporate Priority	Services	<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>58%</td> <td>Amber</td> </tr> <tr> <td>Q2</td> <td>61%</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>67%</td> <td>Green</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>	Year	Qtr.	Actual	RAG	2025/26	Q1	58%	Amber	Q2	61%	Green	Q3	67%	Green	Q4		
Year	Qtr.		Actual	RAG															
2025/26	Q1		58%	Amber															
	Q2		61%	Green															
	Q3		67%	Green															
	Q4																		
KPI Description	Percentage of appeals dismissed against the Council's refusal of planning permission																		
Target	60%																		
Service Area	Development Management																		
Group Head	David Anderson																		
Narrative	<p>This is a cumulative figure for the year- Jan 2025 to Dec 2025. Result was higher than the Q2 result. Target was achieved.</p> <p>Total no of appeal decisions – 39. Total no of appeals dismissed – 26.</p> <p>Percentage of appeals dismissed – 67%</p>																		

Background information

Year on Year Comparison: 2024/25 vs 2025/26

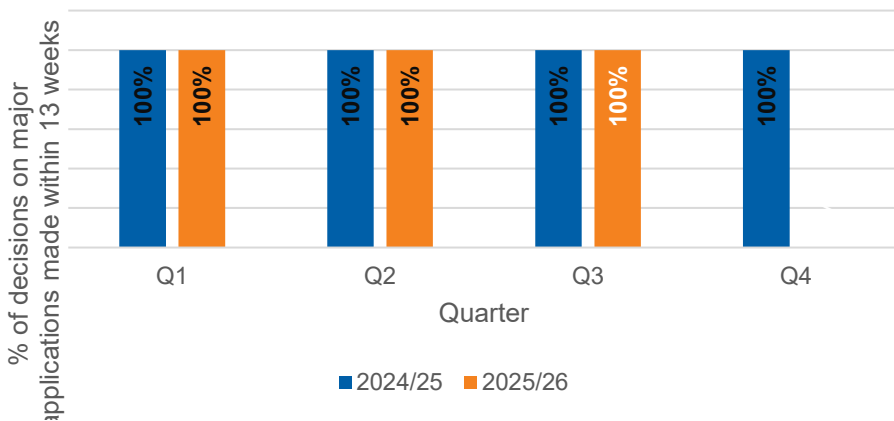


P4 – Development Management Performance

Corporate Priority	Services	Year	Qtr.	Actual	RAG
KPI Description	Percentage of decisions on major applications made within 13 weeks	2025/26	Q1	100%	Green
Target	60%		Q2	100%	Green
Service Area	Development Management		Q3	100%	Green
Group Head	David Anderson		Q4		
Narrative	Q3 Target achieved. Figure for each quarter (as per the Combined Development Control (PS1 and PS2) Form) of the percentage of decisions on applications made within 13 weeks. Higher outturn is better For the period Oct 2025 to Dec 2025: No of major applications determined – 1No determined on target – 1Percentage determined on target – 100%				

Background information

Year on Year Comparison: 2024/25 vs 2025/26



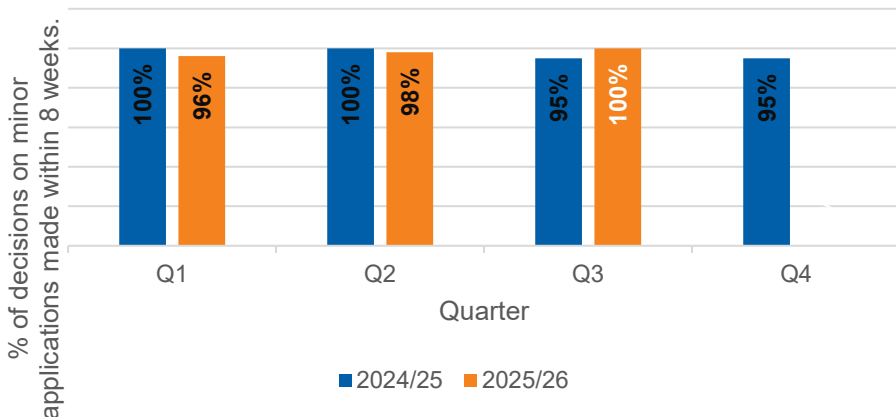
Major applications – any application that involves residential development of ten or more dwellings or on a site greater than 0.5 ha; floorspace greater than 1,000 sqm.

P5 – Development Management Performance

Corporate Priority	Services	Year	Qtr.	Actual	RAG
KPI Description	Percentage of decisions on minor applications made within 8 weeks.	2025/26	Q1	96%	Green
Target	70%		Q2	98%	Green
Service Area	Development Management		Q3	100%	Green
Group Head	David Anderson		Q4		
Narrative	There is a 2% increase from Q2 figures. The team achieved the target in full, with 100% of planning decisions delivered in accordance with agreed performance measures during the reporting period. For the period Oct 2025 to Dec 2025: No of minor applications determined – 39 No determined on target – 39 Percentage determined on target – 100%				

Background information

Year on Year Comparison: 2024/25 vs 2025/26



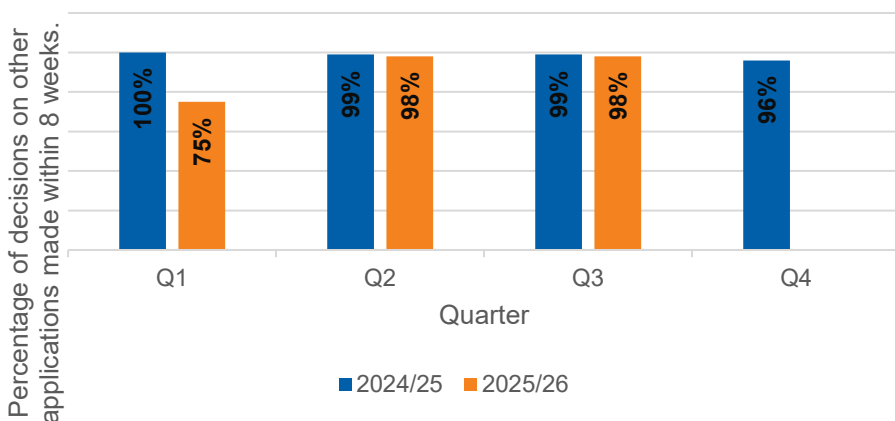
Minor applications – residential development between one and nine dwellings; floorspace less than 1,000 sqm.

P6 – Development Management Performance

Corporate Priority	Services	<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>75%</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>98%</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>98%</td> <td>Green</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>	Year	Qtr.	Actual	RAG	2025/26	Q1	75%	Green	Q2	98%	Green	Q3	98%	Green	Q4		
Year	Qtr.		Actual	RAG															
2025/26	Q1		75%	Green															
	Q2		98%	Green															
	Q3		98%	Green															
	Q4																		
KPI Description	Percentage of decisions on other applications made within 8 weeks.																		
Why is this indicator important?	TBC																		
Target	70%																		
Service Area	Development Management																		
Group Head	David Anderson																		
Narrative	Target achieved although performance was slightly below Q2 results but remains stable. Figure for each quarter (as per the Combined Development Control (PS1 and PS2) Form) of the percentage of decisions on applications made within 8 weeks. Higher outturn is better. For the period Oct 2025 to Dec 2025: No of other applications determined – 120 No determined on target – 117 Percentage determined on target – 97.5%																		

Background information

Year on Year Comparison: 2024/25 vs 2025/26



Other applications – householder applications; changes of use; listed building consent.

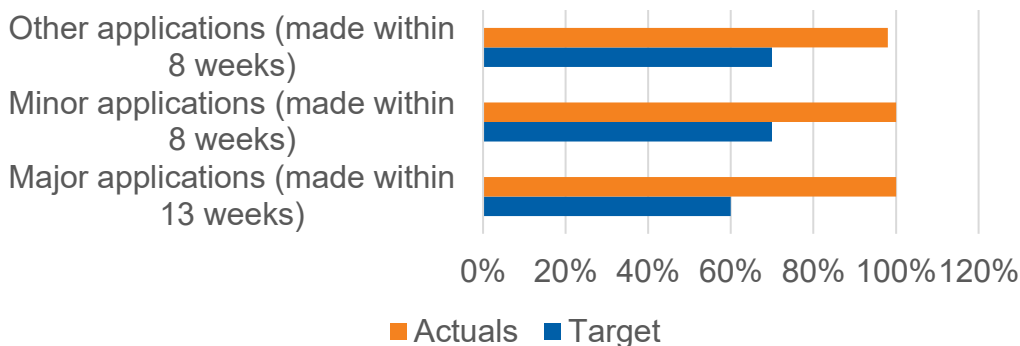
P7 – Development Management Performance

Corporate Priority	Services	<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>97%</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>98%</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>95%</td> <td>Green</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>	Year	Qtr.	Actual	RAG	2025/26	Q1	97%	Green	Q2	98%	Green	Q3	95%	Green	Q4		
Year	Qtr.		Actual	RAG															
2025/26	Q1		97%	Green															
	Q2		98%	Green															
	Q3		95%	Green															
	Q4																		
KPI Description	Percentage of planning enforcement investigations commenced within timeframes																		
Why is this indicator important?	TBC																		
Target	95%																		
Service Area	Development Management																		
Group Head	David Anderson																		
Narrative	This is a cumulative figure for the year- Jan 2025 to Dec 2025. There is a slight reduction from Q2 figures but target was achieved and performance continues to meet agreed expectations. For the period 1 Jan 2025 to 31 Dec 2025: Percentage of planning enforcement investigations commenced within timeframes- 95%																		

Background information

The chart below shows that the targets for Q2 have been exceeded for all types of planning applications.

% of decisions on applications made within statutory timescales



Benchmarking Performance: Statistically Near Neighbours

Benchmarking information will be included in the 2025/26 annual report because it relies on complete, validated data from all local authorities for the full financial year. Publishing at year-end ensures accuracy, consistency, and fairness in comparisons, as partial or quarterly figures can be misleading due to seasonal variations. The annual reporting cycle also allows time for quality assurance and standardisation, providing a reliable basis for performance evaluation and strategic planning.

A1 – Assets Performance

Corporate Priority	Resilience	<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>94%</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>100%</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>100%</td> <td>Green</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>	Year	Qtr.	Actual	RAG	2025/26	Q1	94%	Green	Q2	100%	Green	Q3	100%	Green	Q4		
Year	Qtr.		Actual	RAG															
2025/26	Q1		94%	Green															
	Q2		100%	Green															
	Q3		100%	Green															
	Q4																		
KPI Description	Rent Collection																		
Target	80% collection within 14 days of quarter day; 90% by quarter end																		
Service Area	Assets (Investments)																		
Group Head	Coralie Holman																		
Narrative	100% collection by quarter end relating to commercial assets portfolio																		

A2 – Assets Performance

Corporate Priority	Resilience	<table border="1"> <thead> <tr> <th>Year</th> <th>Qtr.</th> <th>Actual</th> <th>RAG</th> </tr> </thead> <tbody> <tr> <td rowspan="4">2025/26</td> <td>Q1</td> <td>100.0%</td> <td>Green</td> </tr> <tr> <td>Q2</td> <td>95.0%</td> <td>Green</td> </tr> <tr> <td>Q3</td> <td>98.2%</td> <td>Green</td> </tr> <tr> <td>Q4</td> <td></td> <td></td> </tr> </tbody> </table>	Year	Qtr.	Actual	RAG	2025/26	Q1	100.0%	Green	Q2	95.0%	Green	Q3	98.2%	Green	Q4		
Year	Qtr.		Actual	RAG															
2025/26	Q1		100.0%	Green															
	Q2		95.0%	Green															
	Q3		98.2%	Green															
	Q4																		
KPI Description	Accurate Budget setting and monitoring for income and expenditure across the portfolio, every financial year.																		
Target	Budget remains within a +/- 5% tolerance																		
Service Area	Assets (Overarching Assets)																		
Group Head	Coralie Holman																		
Narrative	Relates to commercial assets portfolio																		



Committee Report Checklist

Please submit the completed checklists with your report. If final draft report does not include all the information/sign offs required, your item will be delayed until the next meeting cycle.

Stage 1

Report checklist – responsibility of report owner

ITEM	Yes / No	Date
Councillor engagement / input from Chair prior to briefing	Yes	9/3/26
Relevant Group Head review	Yes	28/2/26
MAT+ review (to have been circulated at least 5 working days before Stage 2)	Yes	17/3/26
This item is on the Forward Plan for the relevant committee		
	Reviewed by	
Finance comments (circulate to Finance)	Yes	26/03/26
Risk comments (circulate to Lee O'Neil)		
Legal comments (circulate to Legal team)	L Heron	4/3/36
HR comments (if applicable)		

For reports with material financial or legal implications the author should engage with the respective teams at the outset and receive input to their reports prior to asking for MO or s151 comments.

Do not forward to stage 2 unless all the above have been completed.

Stage 2

Report checklist – responsibility of report owner

ITEM	Completed by	Date rec'd
Monitoring Officer commentary – at least 5 working days before MAT	L Heron	17/3/26
S151 Officer commentary – at least 5 working days before MAT	T Collier	24.3.26
Commissioner engagement	J. Kingston o.b.o. Cmmrs	31/3/26
	Delete as applicable:	No issues Comments in S. 7
Confirm final report cleared by MAT		

Corporate Policy and Resources Committee

Date of meeting 20 April 2026

Title	Equality Diversity and Inclusion Strategy
Purpose of the report	To make a decision
Report Author	Sandy Muirhead Group Head Commissioning and Transformation Katy Frame HR Business Partner
Ward(s) Affected	All Wards
Exempt	No
Exemption Reason	N/A
Corporate Priority	Community Environment Services
Recommendations	Committee is asked to: Approve the Equality Diversity and Inclusion Strategy.
Reason for Recommendation	To both complete the Equality Diversity and Inclusion work of the Council and to meet audit requirements.

1. Executive summary of the report (*expand detail in Key Issues section below*)

What is the situation	Why we want to do something
<ul style="list-style-type: none"> An audit in early 2025 identified gaps in our coverage of EDI at the Council and one of the actions to fulfil was to develop an Equality Diversity and Inclusion (EDI) Strategy 	<ul style="list-style-type: none"> Though the Council endeavours to treat everyone fairly and has engendered this attitude through workplace training we need a formal EDI Strategy to confirm this and enable improved annual reporting on workforce EDI.
This is what we want to do about it	These are the next steps
<ul style="list-style-type: none"> To agree the Strategy 	<ul style="list-style-type: none"> To agree and then publish the Strategy and publish annual progress updates and EDI workforce data.

2. Key issues

- 2.1 Local government must ensure everyone is treated with dignity, fairness and equal access to opportunities. Spelthorne is committed to upholding these principles.
- 2.2 Our workplace must maintain effective practices, cultures and behaviours that enable staff to engage in their roles and support our communities. A strong approach to Equality, Diversity and Inclusion (EDI) enhances organisational performance by drawing on a wide range of backgrounds, experiences and perspectives. Diverse and inclusive teams are more innovative, make better decisions and drive overall improved outcomes.
- 2.3 An EDI audit was completed in 2025 and recommended various actions to strengthen our approach to EDI. Most actions have been delivered, and the presentation of an EDI Strategy is the final outstanding action.
- 2.4 Although the Council's approach to EDI is outlined on the website, the Council does not have a formal EDI strategy in place just an EDI statement and objectives. Given Local Government Reorganisation the proposed Strategy is concise and sets clear objectives for the Council's final year.
- 2.5 The strategy will inevitably be superseded by the early work of the shadow authority and therefore before 31 March 2027 there may be a need to converge this strategy with a new West Surrey EDI strategy.
- 2.6 Spelthorne does provide annual mandatory EDI training for staff, includes an EDI presentation as part of induction for new staff and has established equality objectives and an EDI statement.
- 2.7 The Council publishes annual workforce data, including gender pay gap information and conducts equality impact assessments where relevant.
- 2.8 The Council has also ensured it celebrates/demonstrates diversity and inclusion through various activities throughout the year. This includes being an Armed Forces Employer, undertaking mental health initiatives, recognising key dates celebrating our communities and their diversity and ensuring we have new accessible and inclusive playgrounds
- 2.9 Training remains a key priority. While staff currently complete annual mandatory EDI training via Workrite and receive introductory EDI content during induction the Council intend to commission an external provider to deliver more comprehensive training. Potentially this training will be provided by another Council via their experienced training and development officer to reduce cost. Group Leaders have also agreed that post-election Councillors will receive additional EDI training.
- 2.10 Where appropriate Equality Impacts Assessments are undertaken on projects and strategies. These are being collated for reference and monitoring purposes into a central log.

3. Options appraisal and proposal

- 3.1 **Option 1** To agree the Equality, Diversity and Inclusivity Strategy.

- Pros Ensure audit and legislative requirements are met, and provide a clear and easily implemented strategy, reinforcing staff responsibilities under EDI

3.2 **Option 2 Not to agree the Strategy**

- Pros Reduces EDI workload
- Cons - Does not meet required audit or ethical standards creating a reputational risk

4. **Risk implications**

- 4.1 **Strategic risk** The Strategy may not be fully implemented due to competing corporate priorities, limiting its impact. **Mitigation** - Maintain visibility of EDI within the organisation using communications and workforce reporting
- 4.2 **Operational Risk** Additional workload to fulfil the public sector duty in full could stretch already limited staff capacity, delaying delivery of actions and there is a risk of the Council failing in its duty. **Mitigation** Allocate dedicated officer time for EDI tasks and phase implementation to avoid pressure peaks.
- 4.3 **Financial risk** Commissioning external training and improving reporting processes may require additional funding not currently budgeted. If insufficiently resourced, actions may not be delivered to the expected standard. **Mitigation** Secure early budget approval for training (in progress). Explore low cost or partnership-based training providers such as trainers from other local authorities (in progress). Build reporting improvements into existing systems ie information into iTrent (HR system) where appropriate or use project monitoring to record Equality Impact Assessments
- 4.4 **Legal/compliance risk** Failure to meet EDI commitments or audit expectations could expose the Council to compliance concerns or findings. **Mitigation** Embed EDI considerations fully into all Committee reports and service decisions.
- 4.5 **Reputational risk** Not delivering the Strategy or failing to demonstrate progress could lead to reputational damage, especially given the Council's commitment to fairness and inclusion. **Mitigation**. Publish annual progress updates and EDI workforce data.
- 4.6 **Cultural/engagement risk** Staff or Councillors may not fully engage with the Strategy or training, reducing its effectiveness. **Mitigation** Training is already mandatory for staff and Councillors via Workrite. Projects Team and HR to provide specific guidance to make Strategy practical and relevant e.g. for Equality Impact Assessments.
- 4.7 **Data and reporting risk** Incomplete or inconsistent EDI data collection could hinder annual reporting and reduce transparency. **Mitigation** Continue to use employee data stored within the HR system iTrent to produce reports on workforce diversity. Encourage staff to update their personal details.

5. **Financial implications**

- 5.1 There will be a training cost, but this is not expected to be excessive, and costs are currently being sought. However, this should not impact approval of the strategy and training is an extra to the objectives within the strategy.
- 5.2 Any potential costs will be covered by the existing budget and will not cause extra pressure to the council.

6. Legal comments

- 6.1 The Council is required to comply with legal obligations under the Equality Act 2010 and the Public Sector Equality Duty.
- 6.2 The proposed Strategy sets the Council's approach to meeting its legal duties under the Equality Act 2010 and assists the Council in complying with its statutory obligations.
- 6.3 Adoption of new policies and Human Resources are within the area of responsibility for Corporate Policy and Resources Committee.

Corporate implications

7. Commissioners' comments

- 7.1 It is recognised that this strategy is quite short but given the Council will cease to exist in one year this strategy will inevitably be superseded by the early work of the shadow authority so no issues at this stage.

8. S151 Officer comments

- 8.1 The S151 Officer confirm that all financial implications have been taken into account and that the recommendations are fully funded from within the 2026/27 budget.

9. Monitoring Officer comments

- 9.1 The Monitoring Officer confirms that the relevant legal implications have been taken into account.

10. Procurement comments

- 10.1 There are no procurement implications arising directly from this report and the proposed Strategy. Any contracts and arrangements for training and support relating to the Strategy must comply with the Council's Contract Standing Orders.

11. Equality and Diversity

The Strategy will strengthen our Equality and Diversity actions and provide clear guidance for all staff and Councillors. It will also demonstrate that we are meeting our responsibilities under the Public Sector Equality Duty

12. Sustainability/Climate Change Implications

- 12.1 Equality Diversity and Inclusion is part of the social aspect of sustainability and often the vulnerable are the most impacted by climate change.

13. Other considerations

- 13.1 None

14. Timetable for implementation

- 14.1 Strategy will be fully implemented on agreement by Committee

15. Contact

- 15.1 Sandy Muirhead Group Head Commissioning and Transformation
Katy Frame HR Business Partner
- 15.2 .

***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:

List as Appendix A. Proposed EDI Strategy

Equality, Diversity & Inclusion (EDI) Strategy Overview

1. Introduction

Spelthorne Borough is committed to creating an inclusive environment where all individuals - residents, employees, Councillors and stakeholders - are treated fairly and equitably. This strategy outlines our approach to embedding Equality, Diversity, and Inclusion (EDI) across governance, service delivery, and workforce practices. It aligns with our statutory obligations under the Equality Act 2010, including compliance with the Public Sector Equality Duty, and reflects our ambition to lead by example in promoting fairness and respect.

2. Our legal responsibilities

The Council will meet all legal duties in respect of equality and diversity under the Equality Act 2010 which protects people from discrimination on the basis of the following nine protected characteristics: age, disability, gender reassignment, marriage & civil partnership, pregnancy & maternity, race, religion or belief, sex and sexual orientation.

The Act contains an integrated Public Sector Equality Duty, which requires all public bodies to have due regard to the need to:

- eliminate unlawful discrimination, harassment, victimisation and any other unlawful conduct prohibited by the act
- advance equality of opportunity between people who share and people who do not share a relevant protected characteristic
- foster good relations between people who share and people who do not share a relevant protected characteristic

We recognise there may be additional characteristics that impact people in Spelthorne and their ability to access services and/or participate in public life.

3. Our Objectives

i. Eliminate discrimination

We will do this by:

- Reviewing and updating policies to remove bias
- Ensuring fair protocols in employment, procurement, and services

ii. Advance equality of opportunity

We will do this by:

- Tailoring services to ensure accessibility for all users
- Identifying additional characteristics of our community and targeting outreach for marginalised groups
- Ensuring recruitment campaigns and development opportunities are accessible to all

iii. Foster good relations

We will do this by:

- Strengthening engagement with diverse communities to co-design services
- Offering accessible communication channels
- Building partnerships with local advocacy groups and charities

iv. **EDI in governance & policy**

We will do this by:

- Embedding EDI principles into all policies and decision-making processes
- Improving our Equality Impact Assessment (EIA) records. Ensuring EIAs are undertaken for all relevant projects and service changes, and reviewed throughout the duration of the project
- Ensuring compliance with legal frameworks and best practice standards.

v. **Improve data & transparency**

We will do this by:

- Publishing annual workforce data and four-yearly equality objectives
- Strengthening data collection from our workforce and service users

vi. **Build capability & awareness**

We will do this by:

- Delivering mandatory EDI training for all staff and elected members
- Promoting awareness campaigns to celebrate diversity and challenge discrimination
- Empowering staff networks and EDI champions

4. Governance & Leadership

- Chaired by a senior manager, we will continue to support our employee-led Inclusivity group
- Report biannual progress to Audit Committee and publish updates for transparency.

5. Measuring Success

- **Workforce Diversity:** Increased representation of underrepresented groups.
- **Community Satisfaction:** Improved engagement and service accessibility scores.
- **External Recognition:** Maintain Disability Confident Status

6. Our Commitment

This strategy is a continuous journey, not a one-time initiative. By embedding EDI into our culture and operations, we aim to deliver fairer outcomes for all and strengthen trust in local government.

Approved/agreed by.....(INSERT DATE)

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Committee Report Checklist

Please submit the completed checklists with your report. If final draft report does not include all the information/sign offs required, your item will be delayed until the next meeting cycle.

Stage 1

Report checklist – responsibility of report owner

ITEM	Yes / No	Date
Councillor engagement / input from Chair prior to briefing	Yes	CNWG
Relevant Group Head review	Yes	12/9/25
MAT+ review (to have been circulated at least 5 working days before Stage 2)	Yes	12/9/25
This item is on the Forward Plan for the relevant committee		
	Reviewed by	
Finance comments (circulate to Finance)		
Risk comments (circulate to Lee O’Neil)		
Legal comments (circulate to Legal team)	Jo Clare	14.12.25
HR comments (if applicable)		

For reports with material financial or legal implications the author should engage with the respective teams at the outset and receive input to their reports prior to asking for MO or s151 comments.

Do not forward to stage 2 unless all the above have been completed.

Stage 2

Report checklist – responsibility of report owner

ITEM	Completed by	Date rec’d
Monitoring Officer commentary – at least 5 working days before MAT	L Heron	27/03/26
S151 Officer commentary – at least 5 working days before MAT	T.Collier	25/3/26
Commissioner engagement	J. Kingston o.b.o. Cmmrs	31/03/2026
	Delete as applicable:	No issues
Confirm final report cleared by MAT		

Corporate Policy and Resources Committee

Date of meeting 20 April 2026

Title	Solar Canopy Project Closure report
Purpose of the report	To make a decision
Report Author	<i>Tim Snook Sustainability and Resilience Lead</i> <i>Sandy Muirhead Group Head Commissioning and Transformation</i>
Ward(s) Affected	All Wards
Exempt	No
Exemption Reason	Not Applicable
Corporate Priority	Community Resilience Environment
Recommendations	Committee is asked to: <i>Agree to formally end the project.</i>
Reason for Recommendation	The risks to the project due to issues with ground conditions in the car park were deemed to be severe enough as to impact the installation of a solar canopy for the Eclipse Leisure Centre car park. The project needs formal closure.

1. Executive summary of the report (expand detail in Key Issues section below)

What is the situation	Why we want to do something
<ul style="list-style-type: none"> Site specific constraints have been identified in the project increasing cost and delivery risks. There was a proposal to look at funding the capital works from Community Infrastructure Levy (CIL) but this was not feasible and with additional debt financing required for the project it was formally a closing constraint. The project originally aligned with the Council's commitment to the climate emergency plan and was in 	<ul style="list-style-type: none"> Due to a number of reasons this project cannot be implemented and therefore formal closure is required

keeping with the design and ethos of the Passivhaus Eclipse leisure centre	
This is what we want to do about it	These are the next steps
<ul style="list-style-type: none"> To seek a formal decision on closing the project as the risks are now clear with the required project design changes and challenges of financing the scheme. 	<ul style="list-style-type: none"> To formally close the project as a result of the issues associated with ground conditions. Integrate the lessons learned from this project, specifically the proper use of a RACI matrix into the project process.

2. Key issues

- 2.1 The project was originally designed to return an income to the Council from the development of the solar canopy and subsequent electricity generation over a long time period. This report documents the issues and risks and provides an assessment of the potential impacts concerning the solar canopy project i.e. the installation of a solar canopy to cover the Eclipse Leisure Centre car park and provision of electricity ideally to a Passivhaus leisure centre thus adding to its overall high level of sustainability. The report summarises the reasons the project was closed.
- 2.2 The concept of putting in solar canopies over the Eclipse Leisure Centre car park was first presented to Corporate Policy and Resources Committee (CPRC) in July 2024. The report sought, and received, agreement to the initiation of the solar canopy project, including the formation of a project officer group to explore options and return to CPRC with a more detailed business case.
- 2.3 Following exploration of the options a further report was brought to CPRC in September 2024 which provided more detail on the business case and sought permission to go to tender to ascertain finalised costs and designs for Councillor approval. This was agreed subject to reporting back to this Committee on the outcome of the tender process and presenting detailed proposals.
- 2.4 As a result of the procurement exercise and with agreement from CPRC and Full Council in December 2024 the solar company 3ti were awarded the project for design and installation of a solar canopy for the Eclipse Leisure Centre car park. At that time the scheme had the ability to tie in with the timescale of the demolition of the old leisure centre and construction of a new car park so minimising impact on the Phase 2 works (demolition of old leisure centre and construction of car park) for the leisure centre.
- 2.5 However, it was subsequently discovered there were issues with the ground conditions. 3Ti therefore needed to undertake a redesign of the solar canopy to allow for the proposed foundations which had not taken account of the presence of attenuation tanks affecting the function of the tanks and solar canopy. As 3Ti would be expected to follow the industry standard RIBA stages of design development this would have included referencing plans to show what sits underground, before finalising designs.

- 2.1 3ti, the appointed supplier, then worked with the Council's engineering contractors to design 3 potential alternative options to alleviate the risk of the attenuation tank. However, due to the redesign that needed to be undertaken by 3ti, it took the company 10 weeks to come back with 3 designs of which only one was cost neutral compared to the original design. This meant deadlines were missed to integrate with the work being undertaken as part of the phase 2 contract works for demolition of the old leisure centre and construction of a new leisure centre car park. This could have increased the cost of the project, caused further disruption to leisure centre users, variation costs on the demolition contract and the risk of claims from the leisure centre operator.
- 2.2 Since the project was originally evaluated and approved in principle the context within which Spelthorne Borough Council is operating has changed significantly. Firstly, with the Devolution White Paper in December 2024, Spelthorne and the Surrey Councils are now involved in a reorganisation process will see Spelthorne Borough Council cease to exist as a sovereign council from 1st April 2027. Whilst a focus on achieving long term financial savings and environmental benefits is still relevant the benefits would accrue to a successor authority rather than to Spelthorne. However, we should bear in mind that the successor unitary may wish to consider options once it goes live post vesting day (1 April 2027).
- 2.3 Secondly in May 2025 the Best Value Inspection Report and Directives issued by the Secretary of State for Spelthorne were published with a clear emphasis on reducing Spelthorne debt levels. Therefore, unless there was certainty that a Community Infrastructure Levy (CIL) could fund the capital works, which it cannot, the additional debt financing required for the project was an additional constraint. Due to loss of previous project management support internally there would have been an additional cost to the project for those costs.
- 2.4 Given the project had a potential return on investment over considerable time and has community benefit in terms of a shaded car park being available which can mitigate heat stress in cars/people (more likely with a changing climate) it could have potentially qualified, with Councillor approval, for strategic community infrastructure funding. However, due to funding constraints under CIL the project would not have been funded via this route. Hence this report to formally close the project.

Lessons Learned

- 2.5 This project has highlighted several important lessons for how future work should be structured and supported. One of the clearest lessons is the value of establishing and using a clear RACI approach from the start. Challenges arose when the presence of the attenuation tanks was not fully accounted for during the early design work, something that should have been identified through stronger clarity of responsibility for checking underground conditions and validating design assumptions before progressing to later stages. A well-defined and consistently used RACI model would help ensure that every party understands their role in verifying critical information at the right time.
- 2.6 Another insight relates to organisational understanding and alignment. Delays were created when the redesign process by the supplier took ten weeks, which caused key integration deadlines with the phase two works to be missed. This shows how essential it is for internal teams, external partners

and supporting contractors to work from the same understanding of timelines, dependencies and constraints. Ensuring that all teams genuinely share the same picture of the project would reduce avoidable disruption and uncertainty.

- 2.7 Resource allocation has also been a significant learning point. The loss of internal project management support increased cost pressures and added risk to the project at a time when the Council was already facing wider organisational and financial demands. This reinforces the need to identify critical skills early, plan for continuity and avoid single points of failure in key project roles.
- 2.8 Finally, there is an important lesson around knowledge sharing. Much of the difficulty stemmed from information on underground infrastructure not being effectively surfaced and integrated early in the design process. This led to redesigns and late recognition of risks that could have been anticipated with better information flow between teams. Building structured knowledge sharing into project processes will support better decisions and reduce the likelihood of late-stage surprises.

3. Options appraisal and proposal

- 3.1 **Option (recommended)** Terminate the project completely due to the risks, additional costs for project management and the changed situation for Council funding outlined above.

4. Risk implications

- 4.1 All risks associated with the solar canopy project can be found in the project dashboard and are summarised in **Appendix A** Solar Carpark Risk Log appended to this document.

Careful consideration has been given to the impact of Local Government Reorganisation, and it is inappropriate to encumber the incoming unitary authority with a project of such significant cost.

5. Financial implications

- 5.1 Through the cancellation of the project, the Council would no longer carry the financial risk of £1.32M which was dedicated to the project in December 2024 and reflected in the approved Capital Programme for 2025-26. This decision to cancel the project might prevent the Council from realising an estimated yet unverified £4.9m potential revenue generation over 24 years. CPRC at its meeting on 8 September 2025 resolved to recommend to Council the cancellation of the solar canopy project and the £1.32m provision was subsequently removed from the 2025/2026 Capital Programme in the MRTP report.
- 5.2 A purchase order had been raised ahead of the formal completion of the contract for design costs. Consequently, the supplier was entitled to recover its initial costs of circa £16,000 + VAT notwithstanding the absence of a formal contract. By negotiation this was reduced to £12,000 + VAT and £425 adjudication fee.

- 5.3 This project has effectively been cancelled as already removed from the Capital Programme, but it means we will not incur the ongoing costs of project management. With the loss of our consultant, Assets had advised that they would need to outsource the project management.
- 5.4 Cancelling this project means that we will not incur the costs of a Phase 2 contract variation for the work in putting in the Solar Canopy foundations during car park construction. (This cost had been included in the Solar Carpark project costs.)
- 5.5 Procurement, legal and additional risks implications carry further costs.
- 5.6 3ti have offered to fully fund the project, this would come with its own financial risks as it would mean a small revenue share agreement and additional legal implications which have not been fully considered.
- 5.7 To ensure there was an ability to feed into the grid if the electricity could not be sold to Places for People there would be a legal cost for a power purchase agreement. Other authorities have developed power purchase agreements to cover electricity generation from renewables feeding into the grid.

6. Legal comments

- 6.1 The Council has a statutory duty to deliver best value pursuant to the provisions of the Local Government Act 1999. Further justification by reference to substantive evidence will be required to demonstrate that the proposed project meets this statutory duty.
- 6.2 Due consideration must be given to all and any title issues affecting the Leisure Centre Car Park and their impact on the proposed project. Utilities and energy law is a niche and specialised discipline, and the Council would require external legal advice to ensure compliance with the applicable laws and regulations to enable sale of solar-generated energy.
- 6.3 Cancellation of this project aligns with the statutory directions.

Corporate implications

7. Commissioners' comments

- 7.1 *(No issues.)*

8. S151 Officer comments

- 8.1 The financial implications are set out in section 5 above. The S151 Officer agreed with the recommendation to end the project and remove the associated provision of £1.32m from the Capital Programme but ensure that all the documentation is passed across to the successor unitary for their future consideration with respect to option of future retro-fitting. Given the close timing of the creation of the unitary, it will be the unitary which would accrue any financial return from a scheme. Under the Best Value Directions, we have a clear focus on reducing rather than increasing debt, and ending the scheme removed the risk that the scheme may have had to be funded upfront from borrowing. Given the intense resourcing pressures arising from Best Value Process and Local Government Reorganisation (with respect to the later those are now greatly increasing) there is a rationale for dropping a

scheme which still has complexities to be resolved around achieving a positive utility and energy outcome to provide a financial return.

9. Monitoring Officer comments

- 9.1 The Monitoring Officer confirms that the relevant legal implications have been taken into account.

10. Procurement comments

- 10.1 A procurement exercise for the selection of the supplier had taken place with the support of the Procurement Team.

11. Equality and Diversity

- 11.1 Any decision taken will be implemented with upmost care an attention so as not to impact any one group or organisation

12. Sustainability/Climate Change Implications

- 12.1 This project would have directly correlated with the Council's commitments in declaring a climate emergency in 2020 and adopting a climate change strategy in 2022. Specifically, the Council's climate change strategy action plan:- Key actions 4 "to incorporate energy efficiency measures and renewables into conversions, refurbishments and maintenance of council owned buildings and housing developments" and 9, to "produce as much energy locally through renewable resources".

- 12.2 The project estimated a carbon saving in the region of 137 tonnes per year which would have had a significant impact on the carbon emissions associated with the Council's scope 3 carbon footprint

13. Other considerations

- 13.1 Subsequently the Government launched a call for evidence in early 2025 to assess the feasibility of mandating solar canopies for car parks with a consultation period which ran until May 2025. This initiative, led by the Department for Energy Security and Net Zero (DESNZ), explores requiring solar installations on all new outdoor car parks and potentially on existing ones above a certain a certain size, including those in public and private ownership. If such a requirement came into law a future unitary may wish to install a solar canopy on site.

14. Timetable for implementation

- 14.1 On agreement to the report the project is formally cancelled. The £1.32m provision has been removed from the Capital Programme.

15. Contact

- 15.1 Timothy Snook Sustainability and Flood Risk Officer
Sandy Muirhead Group Head Commissioning and Transformation.

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

Background papers: CPRC Report 8 July 2024, CPRC Report 9 September 2024 and Council Report 9 December 2024.

Appendices:
Appendix A, Risk Log Solar Canopy Project.

Risk Log

Date last updated: 06/05/25

Ref No.	Description of Risk/Issue	Likelihood of occurrence (1 to 5, where 1 is low and 5 is high)	Impact on project (1 to 5, where 1 is low and 5 is high)	Risk Score	Date identified	How will the risk be mitigated?	Status (Open/Closed)
3	Through a Council owned and operated model, maintenance and cleaning responsibilities would fall to the council.	5	1	5	04/06/24	Therefore, to ensure that the asset remains at peak operation, a comprehensive contract for maintenance and cleaning must be in place to mitigate the risk.	Open
5	If a Power Purchase Agreement (PPA) route was chosen, as the Council would not own the asset, there is a risk that the asset will be left to the Council to decommission after its usable lifetime. PPA means that the Council can own some and 3ti own some of the solar canopies.	5	3	15	04/06/24	These risks can be mitigated through amending the contracts with any potential supplier to ensure they are covered. Plus using learning from other local authorities who have put them in place	Open
6	A physical risk of the solar canopy is that it may have carpark logistical implications. Such as that drivers collide with the structure, and it could restrict vehicles over a certain height.	3	2	6	04/06/24	This can be mitigated with abundant signage and route optimisation for tall vehicles (such as coaches).	Open
8	A planning application will be required for a development of this size. This is a risk as the development will need the permission granted.	5	5	25	04/06/24	This can be mitigated through pre application discussions and then by allowing the supplier to be responsible for the planning applications. The planning process will take place while the carpark is being built. This has now become an issue.	Open
9	The Council agreed capital funding in December 2024 but with a view to seeking strategic CIL as well.	5	5	25	04/06/24	This could have originally been mitigated by demonstrating that the ROI will be favourable, but with Local Government Reorganisation and limits on capital borrowing this risk has moved from green to red as funding from capital borrowing is no longer available. Only alternative is to seek CIL funding and seek to mitigate other risks noted below	Open
11	Any planned battery store may take up further carparking spaces and must be 20m away from the Solar Canopy.	2	5	10	11/07/24	Spelthorne insurance requires the 20m distance. Can mitigate this risk through design and planning.	Open
14	Availability of key people due to illness or to other workloads. (Especially in light of the LGR and Commissioner changes.)	3	5	15	06/11/24	Hard to mitigate except by having contingency built in to the planning. The project manager in assets leaving has led to proposal of outsourced project management with associated costs	Open
17	The operator requirements may not be fully understood. There is a need to keep them engaged over the design of the solar canopy, the facilities provided and the energy provided. They need to be a key stakeholder.	4	5	20	13/02/25	Explore options as early as possible. Meeting was held today and actions to be taken to ensure we are informed. Also would need to discuss changed situation if solar canopy was built after the Phase 2 works were completed which could involve further risk to the project 30/4/25 RM also had an email from Martin Anderson Projects Director, Places Leisure stating 'Many thanks for the email and yes absolutely this aligns with our carbon reduction strategy and happy to confirm our non-binding interest.'	Open
20	That there is not enough coach turning space for Leisure purposes.	3	4	12	30/04/25	Explore options. Bear in mind that there is a trade off between coach turning space versus solar energy generated..	Open
21	Belated notification about the presence of flood attenuation tanks led to a redesign being required which put the project out of alignment with the construction of the car park. Any delays on car park construction would have had costs associated with it.	5	6	30	28/04/25	The redesign would require planning permission and due to the redesign it may be considered necessary to re procure the scheme.	Open

22	Full Planning permission will be required and there has been a delay due to the necessity of redesign to take account of 3ti had advised us that no planning permission was needed for the foundations. However, advice has changed and full planning permission will be required before any work commences.	5	6	30	15/01/25	30/04/2025 It is now clear that at least 3 months must be added to the timeline. This means that the foundations can no longer be built during the Phase 2 Works timeline, as planned. Therefore the solar canopy would have to be a follow on project resulting in parts of the new car park having to be dug up. Warranties could mitigate any potential long damage caused but would have to consider the further disruption caused to Eclipse leisure centre users.	Open
23	Risk that the operator might not buy the electricity.	2	3	6	15/01/25	A meeting was held on 13/02/2025. It was decided to wait for the new design from 3ti and then conduct a new cost/benefit analysis and report to the group. Richard Mortimer confirmed that PfP have maintained that they would be very interested in purchasing the solar canopy generated electricity, to reduce their carbon footprint but would need to understand minimum guaranteed annual supplies/tariffs.	Open
24	The Project Manager left at the end of March. Would need to outsource project manager now no internal resource available There is a risk of delays, depending on what level of management is required.	5	5	25	13/02/25	This can be mitigated to some degree using some help from the Project team. Ideally though would have to source external assistance so this put the project on hold while costs were sought.	Open
25	Risk that 3ti stop work due to the lack of contract.	1	5	5	13/02/25	Mitigate by having the contract completed.	Open
26	Legal advised that we may need to go back to tender because of the redesign.	4	5	20	10/04/25	Mitigation: this may not be necessary because the redesign can be seen as part of the Pre-Construction Services. If the option 2 redesign proposal is preferred, then it retains the capacity and is cost neutral to the original proposal. Explore the options with Legal and Procurement.	Open



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.

Spelthorne Borough Council

Service Committees Forward Plan and Key Decisions for 1 April 2026 to 30 April 2027

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 20 04 2026	Audit Amendments for Corporate Debt & Financial Regulations	Non-Key Decision	Public	Sandy Muirhead, Group Head - Commissioning and Transformation
Corporate Policy and Resources Committee 20 04 2026	Closure of Solar Canopy Project	Non-Key Decision	Public	Timothy Snook, Sustainability & Resilience Lead
Corporate Policy and Resources Committee 20 04 2026 Council 30 04 2026	Commercial Strategy	Non-Key Decision	Public	Russell Davis, Property Account Manager, Coralie Holman, Group Head - Assets
Corporate Policy and Resources Committee 20 04 2026	Equality and Diversity Strategy	Non-Key Decision	Public	Sandy Muirhead, Group Head - Commissioning and Transformation
Corporate Policy and Resources Committee 20 04 2026 Council 30 04 2026	Improvement and Recovery Plan Progress Update	Non-Key Decision	Public	Gordon Mitchell, Interim 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
Corporate Policy and Resources Committee 20 04 2026	Proposed Parking Order Amendments	Non-Key Decision	Public	Jackie Taylor, Group Head - Neighbourhood Services
Corporate Policy and Resources Committee 20 04 2026	Q3 Corporate KPI Results	Non-Key Decision	Public	Sandy Muirhead, Group Head - Commissioning and Transformation
Corporate Policy and Resources Committee 20 04 2026	Write Offs	Non-Key Decision	Public	Sandy Muirhead, Group Head - Commissioning and Transformation
Corporate Policy and Resources Committee 18 05 2026	Corporate Health and Safety Policy	Non-Key Decision	Public	Karine Codd, Principal Health, Safety and Insurance Officer
Corporate Policy and Resources Committee 18 05 2026	Fuel Purchasing	Key Decision	Public	Jackie Taylor, Group Head - Neighbourhood Services
Corporate Policy and Resources Committee 18 05 2026	KPIs for 2026/27	Non-Key Decision	Public	Sandy Muirhead, Group Head - Commissioning and Transformation
Corporate Policy and Resources Committee 18 05 2026	Procurement of Temporary Agency Staff	Key Decision	Public	Jackie Taylor, Group Head - Neighbourhood Services

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 18 05 2026	Q4 Corporate KPI Results and Annual Report	Non-Key Decision	Public	Sandy Muirhead, Group Head - Commissioning and Transformation
Corporate Policy and Resources Committee 13 07 2026	Asset Investment Strategy	Non-Key Decision	Public	Sian Bowen, Principal Asset Manager
Corporate Policy and Resources Committee 13 07 2026	Commencement of Asset Rationalisation	Non-Key Decision	Public	Coralie Holman, Group Head - Assets
Corporate Policy and Resources Committee 13 07 2026 Council 16 07 2026	Disposal of Council Land at Clay Lane Stanwell	Non-Key Decision	Public	Katherine McIlroy, Asset Manager
Corporate Policy and Resources Committee 13 07 2026 Council 16 07 2026	Knowle Green Estates	Non-Key Decision	Public	David Anderson, Interim Strategic Head of Place
Corporate Policy and Resources Committee 13 07 2026	Q4 Capital & Revenue Monitoring Report	Non-Key Decision	Public	Altin Bozhani, Interim Deputy Chief Finance 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 13 07 2026	Revised proposals for Development of the mezzanine floor of Eclipse Leisure Centre	Non-Key Decision	Public	Kamal Mehmood, Strategic Lead for Leisure and Community Development
Corporate Policy and Resources Committee 12 10 2026	Eclipse Leisure Centre Additional Spend	Non-Key Decision	Public	Coralie Holman, Group Head - Assets
Corporate Policy and Resources Committee 12 10 2026 Council 22 10 2026	Improvement and Recovery Plan Progress Update	Key Decision	Public	Gordon Mitchell, Interim Chief Executive
Corporate Policy and Resources Committee 12 10 2026	Q1 Capital & Revenue Monitoring Report	Non-Key Decision	Public	Altin Bozhani, Interim Deputy Chief Finance Officer
Corporate Policy and Resources Committee 30 11 2026	Q2 Capital & Revenue Monitoring Report	Non-Key Decision	Public	Altin Bozhani, Interim Deputy Chief Finance Officer
Corporate Policy and Resources Committee 08 02 2027 Council 25 02 2027	Improvement and Recovery Plan Progress Update	Key Decision	Public	Gordon Mitchell, Interim 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
Corporate Policy and Resources Committee 08 02 2027	Q3 Capital & Revenue Monitoring Report	Non-Key Decision	Public	Altin Bozhani, Interim Deputy Chief Finance Officer