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Legal and Democratic Services

AUDIT, CRIME & DISORDER AND SCRUTINY COMMITTEE

Thursday 8 February 2018 at 7.30 pm

Committee Room 1 - Epsom Town Hall

The members listed below are summoned to attend the Audit, Crime & Disorder and Scrutiny Committee meeting, on the day and at the time and place stated, to consider the business set out in this agenda.

Councillor David Reeve (Chairman)
Councillor Steve Bridger (Vice-Chairman)
Councillor Alex Clarke
Councillor George Crawford
Councillor Rob Geleit
Councillor Jan Mason
Councillor Humphrey Reynolds
Councillor Jean Steer
Councillor Peter Webb
Councillor Clive Woodbridge

Yours sincerely

Chief Executive

For further information, please contact Tim Richardson, 01372 732122 or trichardson@epsom-ewell.gov.uk

AGENDA

1. QUESTION TIME

To take any questions from members of the Public.
Please note: Members of the Public are requested to inform the Democratic Services Officer before the meeting begins if they wish to ask a verbal question to the Committee.

2. DECLARATIONS OF INTEREST

Members are asked to declare the existence and nature of any Disclosable Pecuniary Interests in respect of any item of business to be considered at the meeting.

3. MINUTES OF THE PREVIOUS MEETING (Pages 3 - 8)

The Committee is asked to confirm as a true record the Minutes of the Meeting of the Committee held on 23 November 2017 (attached) and to authorise the Chairman to sign them.

4. INTERNAL AUDIT MONITORING REPORT (Pages 9 - 44)

This report summarises progress against the audit plan for 2017/18.

5. PROGRESS ON THE IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS (Pages 45 - 56)

This report outlines progress made on implementing internal audit recommendations to strengthen the control environment.

6. REVIEW OF THE ARRANGEMENTS FOR PUBLICISING AND DETERMINING PLANNING APPLICATIONS - UPDATE REPORT (Pages 57 - 62)

This report updates Members on the progress made to-date in implementing the recommendations of the Scrutiny Review Task Group on the Administrative Arrangements for Publicising and Determining Planning Applications. It shows that good progress has been made and that nearly all actions have been completed. The Committee is recommended to note the report, to refer the telecommunications masts policy to the Head of Property to finalise and to undertake a customer satisfaction survey as and when resources allow.

7. CORPORATE PLAN: KEY PRIORITY PERFORMANCE TARGETS PERFORMANCE REPORT PHASE TWO (Pages 63 - 120)

This report provides an update against our Key Priority Performance Targets for 2017 to 2018, under our Corporate Plan.

8. WORK PROGRAMME 2017/18 (Pages 121 - 126)

This report updates the Committee on its work programme 2017/18.

Minutes of the Meeting of the AUDIT, CRIME & DISORDER AND SCRUTINY COMMITTEE held on 23 November 2017

PRESENT -

Councillor David Reeve (Chairman); Councillor Steve Bridger (Vice-Chairman); Councillors Alex Clarke, Neil Dallen (as nominated substitute for Councillor George Crawford), Rob Geleit, Humphrey Reynolds, Jean Steer, Peter Webb and Clive Woodbridge (Items 14 - 20 only)

In Attendance: Lorna Raynes (Client Manager) (RSM Risk Assurance (Internal Auditor)) (Items 12 - 15 only)

Absent: Councillor George Crawford and Councillor Jan Mason

Officers present: Andrew Lunt (Head of Venues & Facilities), Gillian McTaggart (Head of Corporate Governance), Margaret Jones (Scrutiny Officer) and Tim Richardson (Democratic Services Officer)

12 QUESTION TIME

No questions were asked or had been submitted by members of the public.

13 DECLARATIONS OF INTEREST

No declarations of interest were made by councillors in items on the agenda for this meeting.

14 MINUTES OF THE PREVIOUS MEETING

The Minutes of the meeting of the Audit, Crime & Disorder and Scrutiny Committee held on 20 June 2017 were agreed as a true record and signed by the Chairman, subject to the following amendments:

Minute 10 a). That the final sentence of the first paragraph be amended to read as follows:

"The revised form would be circulated to **members of** the Audit, Crime and Disorder Committee for information once it had been designed." (amendment highlighted in **bold** text).

Minute 11 a). That the word "the" be removed, to make the sentence read as follows:

"The Chairman informed the Committee that as Ewell Court House had only recently reopened following a fire, the scrutiny review group would consider whether more time was required to establish business at the venue prior to undertaking a review of it."

15 INTERNAL AUDIT MONITORING REPORT

The Committee received a report summarising progress against the audit plan for 2017/18.

The following matters were considered:

- **Verbal update on financial management and main accounting audit reports.** The Head of Corporate Governance provided the Committee with a verbal update on actions taken following the audits of Financial Management and Main Accounting (which had previously been considered at the meeting of 11 April 2017). The Committee was informed that the Council's finance team was now fully staffed.

- **Deferral of housing audits.** The Committee noted that the Head of Housing & Community had requested that three audits relating to the Council's housing service be deferred to 2018/19, due to the introduction of new duties by the Homelessness Reduction Act 2017. This request was being considered and would be reviewed in conjunction with the Internal Audit Manager.

- **Audit of emergency planning and civil contingencies.** The Committee noted that the auditor had identified 3 medium priority actions within this report. Following consideration of the auditor's report, the Committee requested officers to provide an update at its next meeting with regard to the ICT business continuity and disaster recovery plans, in light of the end of shared service arrangements with Elmbridge Borough Council. The Committee also asked officers to provide an update on the non-desktop based testing arrangements for the Council's wider emergency and business continuity plans.

  Members of the Committee also asked whether councillors could recieve training in how to react in the event of an emergency. The Head of Corporate Governance informed the meeting that a briefing session on emergency and civil contingency planning had been provided for councillors, but that it could be repeated. This matter was further considered in Minute 17, below.

- **Audit of commercial property acquisitions.** The Committee noted that this report had been given a substantial level of assurance by the Internal Auditor. Following a question from a member of the Committee, the Internal Auditor clarified that the report considered whether the policies and procedures agreed by the Council with regard to the acquisition of commercial property had been complied with. It did not examine in detail

the investment criteria approved by the Council, but the Internal Auditor informed the Committee that these were broadly similar to those agreed by other local authorities.

The Committee noted that the report did not consider the governance arrangements of the commercial property investment company formed by the Council, and requested that this be included in the future internal audit work plan if there was availability to do so.

Following consideration, the Committee:

(1) Noted the internal audit progress report;

(2) Requested that an update on ICT business continuity, ICT disaster recovery and testing of emergency planning arrangements be presented to its meeting in February 2018.

16 ANNUAL GOVERNANCE STATEMENT AND EXTERNAL AUDIT FINDINGS 2016/17 - PROGRESS AGAINST ACTION PLAN

The Committee received and noted a report setting out progress in implementing the Action Plan contained within the Annual Governance Statement, and the actions agreed in Audit Findings within the External Auditor's Report.

17 RISK MANAGEMENT FRAMEWORK ANNUAL REPORT

The Committee received a report providing it with an update on the Council's risk management arrangements.

The Committee considered the following matters:

- **Emergency and crisis management.** The Committee expressed support for further training for members with regard to emergency and crisis management, including how officers are able to utilise and manage information from councillors in such events. The Head of Corporate Governance informed the Committee that she would work with the Democratic Services Manager to identify a suitable date for this session. This matter was also considered in Minute 15, above.

- **Monitoring of Plan E.** The Committee expressed concern that the risk "Monitoring the Plan E Project Plan" on page 63 of the agenda was outside the control of the Council, as the implementation of works was the responsibility of Surrey County Council. The Head of Corporate Governance informed the meeting that this was a typing error, and that the full description of this risk should read "Monitoring the Plan E Project Plan and assess impact". The Committee was informed that whilst the implementation of works were the responsibility of Surrey County Council, there were still reputational risks to Epsom and Ewell Borough Council if they were not delivered as planned. Additionally, Epsom and Ewell Borough Council had contributed funding to the Plan.

Members of the Committee expressed the view that an action plan to address any problems that may arise with the implementation of Plan E might be required.

Following consideration, the Committee:

(1) Confirmed that it was satisfied with the arrangements in place for risk management.

(2) Reviewed the Leadership Risk Register and identified the following risk as being an item which it wished to raise with the Leadership Team:

Risk L8 (Monitoring the Plan E Project Plan and assess impact): the Committee expressed the view that an action plan to address problems with the implementation of Plan E should be produced.

18 CORPORATE PLAN: PERFORMANCE REPORT ONE 2017 TO 2018

The Committee received a report providing an update against the Council's Key Priority Performance Targets for 2017 to 2018, under the new Corporate Plan.

The Committee:

(1) Considered the performance reported in Annexe 1 and did not identify any areas of concern.

(2) Considered the actions that had been proposed or taken where performance was currently a concern as shown in table 3.1 of the report.

(3) Noted the overview of the Key Priority Performance Targets in Annexe 2.

19 WORK PROGRAMME 2017/18

The Committee received a report updating it on its work programme for 2017/18.

The following matter was discussed:

- **Community Safety Partnership (CSP).** The Committee noted that a half-yearly report on the work of the CSP had not been presented to this meeting as there was no marked change on its previous position. It was also noted that a report considering how best to scrutinise the activities of the CSP in the future would be brought to the April 2018 meeting of the Committee.

  The Committee requested further information on the make-up and membership of the CSP, and enquired whether a councillor representative from EEBC could be appointed to it. It was noted that the Community Safety & Projects Officer would be asked to provide further information regarding this following the meeting.

A member of the Committee identified that the Council's website currently referred to the Epsom and Ewell Community Safety Partnership, rather than the East Surrey CSP which the Council was now a member of. It was noted that officers would look into this.

Following consideration, the Committee:

(1) Agreed to receive a report in April 2018, which would look at how best the Committee can scrutinise the local CSP in future.

(2) Noted the current position of its work programme 2017/18, attached to the report as Annexe 1.

20 SCRUTINY REVIEW OF EPSOM PLAYHOUSE

The Committee received the report of the Scrutiny Review Task Group on Epsom Playhouse.

The following matters were considered:

- **Characteristics and usage of Epsom Playhouse.** The Chairman provided the Committee with a verbal summary of the Scrutiny Review Group's report and findings. This included detailed analysis of the venue, its usage, and financial performance.

- **Visitor consultation feedback** The Committee noted the highly positive responses received from users of the Playhouse during the consultation carried out for the review, and that these strongly supported the continued operation of the venue.

- **Capital works.** The Committee was informed that bids for capital funding to replace the main stage and refurbish the toilet facilities in the first floor dressing room had been submitted for consideration in the 2018 budget setting process.

- **Reduction of subsidy.** The Committee noted the reduction in subsidy (both per ticket and total) achieved in recent years, and thanked the Head of Venues and Facilities and the staff working at the venue for their hard work to achieve this.

Following consideration, the Committee:

(1) Approved the Report of the Scrutiny Review Task Group on the Review of Epsom Playhouse attached at Annexe 1.

(2) Agreed that the report be presented to the Community & Wellbeing Committee on 23 January 2018.

Following these decisions, the Committee expressed its thanks and congratulations to the Head of Venues and Facilities, staff at the Playhouse, the

Research, Consultation & Information Analyst, Councillor Mike Teasdale and the Scrutiny Officer for the amount of work put into the review.

21 THANKS TO MR SIMON YOUNG, HEAD OF LEGAL AND DEMOCRATIC SERVICES

The Committee recorded its thanks to Mr Simon Young, the Council's Head of Legal and Democratic Services, who had attended its meetings and assisted it for several years. Mr Young was due to leave the Council's employment for a new position, and the Committee wished him well in his new career.

The meeting began at 7.30 pm and ended at 9.11 pm

COUNCILLOR DAVID REEVE (CHAIRMAN)

Audit, Crime & Disorder and Scrutiny Committee
8 February 2018

Agenda Item 4

INTERNAL AUDIT MONITORING REPORT

Report of the:	Head of Corporate Governance
Contact:	Gillian McTaggart
Urgent Decision?(yes/no)	No
If yes, reason urgent decision required:	
Annexes/Appendices (attached):	**Annexe 1** – Internal Audit Progress Report
Other available papers (not attached):	

Report Summary

This report summarises progress against the audit plan for 2017/18

Recommendation (s)

(1) That the Committee receives the internal audit progress report for 2017/18

1 Implications for the Council's Key Priorities, Service Plans and Sustainable Community Strategy

1.1 None for the purposes of this report.

2 Background

2.1 The Committee's terms of reference includes the requirements to monitor the implementation of recommendations from both external and internal auditors.

2.2 On 20 June 2017 the Committee received the internal audit progress report and year-end report for 2016/17. There were no matters arsing where the Committee required further reports.

2.3 The Committee endorsed the audit plan for 2017/18 on the 11 April 2017.

3 Proposals

3.1 The internal audit progress report covering the period to date for 2017/18 is attached as **Annexe 1** to this report.

3.2 The report monitors the delivery of the audit programme and contains the key features that the Committee has requested. During the year, progress reports will reflect the internal auditor's opinion. This report includes:

3.2.1 A summary of progress

3.2.2 Internal audit plan performance

3.2.3 Any alterations to the plan

3.2.4 Executive summary and detailed findings of each review.

3.3 A summary of progress against the Internal Audit Plan for 2017/18 is shown below. Four reports have been finalised and two reports are in draft. Transport – Contract Management, Revenues, Benefits and the Local Plan have been finalised.

3.4 The audits for Business Process Review of homelessness review and Payroll are in draft.

Assignment	**Reported**	**Opinion**	**H**	**M**	**L**
Business Process Review (Housing) C/F from 2016/17	In draft				
Booking System and income collected	23 November 17	Reasonable Assurance			3
Emergency Planning and civil contingencies	23 November 17	Reasonable Assurance		3	4
Delivery of the Local Plan	8 February	Reasonable Assurance		1	1
Property Management	23 November 17	Reasonable Assurance			5
Cyber Security	In progress				
IT General Controls	Not started				
Commercial Property Acquisitions	23 November 17	Substantial Assurance	-	-	-

Housing Needs	Deferred until 18/19				
Transport Contract management	8 February	Substantial Assurance	-	-	3
Private Sector Leasing	Possibly deferred until 18/19				
Temporary Accommodation Initiatives	Deferred until 18/19				
Planning Applications	Commencing March				
Data Protection	Commencing March				
Revenues	8 February	Reasonable Assurance		1	2
Benefits	8 February	Reasonable Assurance		1	
Governance	Commencing February				
Payroll	In draft				
Follow up	On going				

3.5 There are no issues within the audits issued to date to bring to the attention of the Committee. However the Committee has requested an update regarding the recommendations within the Emergency Planning audit particularly relating to IT and the recomendations reported to the previous meeting in November. An update on these matters will be provided at the committee meeting.

4 Financial and Manpower Implications

4.1 There are no financial or manpower implications within this report.

4.2 **Chief Finance Officer's comments:** The work of internal audit is critical to ensuring the Council has an effective and robust set of internal controls in place.

5 Legal Implications (including implications for matters relating to equality)

5.1 None for the purposes of this report.

5.2 **Monitoring Officer's comments:** There are no legal implications arising directly from this report. Internal Audit reports form a key part of the Council's governance arrangements.

6 Sustainability Policy and Community Safety Implications

6.1 None for the purposes of this report.

7 Partnerships

7.1 The Council continue to be part of the internal audit consortium with Mole Valley DC, Reigate & Banstead BC, Tandridge DC and Waverley DC and Surrey Police

8 Risk Assessment

8.1 The internal audit service forms a statutory part of the Council's internal control.

9 Conclusion and Recommendations

There are no reports, which have been given a "no assurance" rating that would affect the Head of Internal Audit's year-end opinion.

Ward(s) Affected: (All Wards);

Agenda Item 4
Annexe 1

EPSOM AND EWELL BOROUGH COUNCIL

Internal Audit Progress Report

Audit, Crime & Disorder and Scrutiny Committee Meeting

8 February 2018

This report is solely for the use of the persons to whom it is addressed.
To the fullest extent permitted by law, RSM Risk Assurance Services LLP
will accept no responsibility or liability in respect of this report to any other party.

RSM

CONTENTS

1 Introduction 2
2 Looking ahead 3
3 Other matters 4
For further information contact 5
APPENDIX A: Internal audit assignments completed to date 6

As a practising member firm of the Institute of Chartered Accountants in England and Wales (ICAEW), we are subject to its ethical and other professional requirements which are detailed at http://www.icaew.com/en/members/regulations-standards-and-guidance.

The matters raised in this report are only those which came to our attention during the course of our review and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Management actions for improvements should be assessed by you for their full impact before they are implemented. This report, or our work, should not be taken as a substitute for management's responsibilities for the application of sound commercial practices. We emphasise that the responsibility for a sound system of internal controls rests with management and our work should not be relied upon to identify all strengths and weaknesses that may exist. Neither should our work be relied upon to identify all circumstances of fraud and irregularity should there be any.

This report is solely for the use of the persons to whom it is addressed and for the purposes set out herein. This report should not therefore be regarded as suitable to be used or relied on by any other party wishing to acquire any rights from RSM Risk Assurance Services LLP for any purpose or in any context. Any third party which obtains access to this report or a copy and chooses to rely on it (or any part of it) will do so at its own risk. To the fullest extent permitted by law, RSM Risk Assurance Services LLP will accept no responsibility or liability in respect of this report to any other party and shall not be liable for any loss, damage or expense of whatsoever nature which is caused by any person's reliance on representations in this report.

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We have no responsibility to update this report for events and circumstances occurring after the date of this report.

RSM Risk Assurance Services LLP is a limited liability partnership registered in England and Wales no. OC389499 at 6th floor, 25 Farringdon Street, London EC4A 4AB.

Agenda Item 4
Annexe 1

1 INTRODUCTION

The Internal Audit Plan for 2017/18 was approved by the Audit, Crime & Disorder Scrutiny Committee in April 2017. Below provides a summary update on progress against that plan and summarises the results of our work to date.

This table informs of the audit assignments that have been finalised and the impacts of those findings since our last report to the Audit, Crime & Disorder and Scrutiny Committee.

The Executive Summary and Key Findings of the assignments below are attached to the end of this progress report.

Assignments	Status	Opinion issued	Actions agreed		
			L	M	H
Local Plan (4.17/18)	FINAL	Reasonable Assurance	1	1	0
Transport - Contract Management (6.17/18)	FINAL	Substantial Assurance	3	0	0
Revenues (7.17/18)	FINAL	Reasonable Assurance	2	1	0
Benefits (8.17/18)	FINAL	Reasonable Assurance	0	1	0

In addition to the above, and as can be seen in the table in Section 3 below, we have issued a further report in draft and are awaiting management responses before we are able to finalise these reports.

2 LOOKING AHEAD

Assignment area	Timing per approved IA plan 2017/18	Status
Business Process Review (Project) Homelessness (9.17/18)	Deferred from 2016/17	Draft report issued 1 December 2017
Payroll	January 2018	Undergoing quality review
Governance	February 2018	Fieldwork commences 12 February 2018
Cyber Security	June 2017	Fieldwork commences 3 March 2018
Planning	October 2017	Fieldwork commences 12 March 2018
Asset Management	Addition to plan	Fieldwork commences 26 March 2018
Data Protection	November 2017	Fieldwork commences 26 March 2018
Private Sector Leasing	October 2017	Scoping and dates under discussion
Housing Needs	September 2017	Management request for deferral to 2018/19
Temporary Accommodation Initiatives	October 2017	Management request for deferral to 2018/19
IT General Controls	December 2017	Scoping and dates under discussion
Follow Up	Throughout the year	Ongoing

3 OTHER MATTERS

3.1 Changes to the audit plan

As reported at the last meeting of the Audit, Crime & Disorder and Scrutiny Committee we have received requests to defer two audits, both in the area of housing and relating to Housing Needs and Temporary Accommodation Initiatives as this area is going through a period of change at the current time. Should these audits be deferred into 2018/19 we would need to discuss with management replacing these with other areas for audit in order still to have sufficient audit coverage to provide our annual opinion. Additionally, as discussed at the last meeting of the Audit, Crime & Disorder and Scrutiny Committee, we have arranged a review of Asset Management to provide further assurance regarding the Commercial Property Acquisition. There have also been some changes to timings in relation to the audits of private sector leasing and data protection and this has been to allow for changes in the areas concerned to be completed prior to our audits being completed.

3.2 Information and briefings

There have been no information briefings since the last Audit Committee

FOR FURTHER INFORMATION CONTACT

Mike Cheetham, Head of Internal Audit

mike.cheetham@rsmuk.com

07800 617204

Lorna Raynes, Client Manager

lorna.raynes@rsmuk.com

07972 004175

APPENDIX A: INTERNAL AUDIT ASSIGNMENTS COMPLETED TO DATE

Reports previously seen by the Joint Audit Committee and included for information purposes only:

Assignments	Status	Opinion issued	Actions agreed		
			L	M	H
Booking System and Income Collection (1.17/18)	FINAL	Reasonable Assurance	3	0	0
Emergency Planning (2.17/18)	FINAL	Reasonable Assurance	4	3	0
Property Management (3.17/18)	FINAL	Reasonable Assurance	5	0	0
Commercial Property Acquisition (5.17/18)	FINAL	Substantial Assurance	0	0	0

LOCAL PLAN - EXECUTIVE SUMMARY

1.1 Background

An audit of the Council's processes to develop the 'Local Plan' was carried out as per the Council's internal audit plan

National planning policy places Local Plans at the heart of the planning system, so it is essential that they are in place and kept up to date. Local Plans set out a vision and a framework for the future development of the area. National planning policy sets clear expectations as to how a Local Plan must be developed in order to be justified, effective, and consistent with national policy.

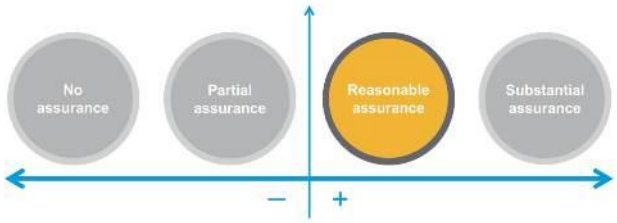
The Epsom and Ewell District-wide Local Plan covers the whole of the administrative area of Epsom and Ewell Borough Council. The Epsom and Ewell Local Plan provides the local policy framework for the borough against which planning applications will be assessed. The Local Plan is supported by an extensive Evidence Base. These background studies and surveys have helped to inform the adopted policies and will underpin future policy preparation. Amongst other material, this evidence base includes the Strategic Housing Market Assessment (SHMA) and the EEBC Green Belt Study.

The purpose of the audit was to provide assurance around the arrangements for developing the Local Plan at the Council and how the progress of the completion of the plan is monitored.

1.2 Conclusion

We found there were generally sound controls around the processes for developing the Local Plan at the Council.

Internal audit opinion:
Taking account of the issues identified, the Council can take reasonable assurance that the controls to manage this area are suitably designed and consistently applied. However, we have identified issues that need to be addressed in order to ensure that the control framework is effective in managing the identified area(s).



1.3 Key findings

The key findings from this review are as follows:

Design of the Control Framework:

We identified one low level action surrounding the design of the control framework, details of which can be seen at section 2 below.

Application of the Control Framework:

- Local planning authorities must publish information at least annually to show progress with Local Plan preparation, reports any activity relating to the duty to cooperate and to show how the implementation of policies in the Local Plan are progressing. We note that as part of this process Officers provided the Planning and Licence Policy Committee with the 2015/16 Housing Annual Monitoring Report (AMR) in April 2017. Due to a shortage of resources the AMR was not fully completed and the Councils Monitoring Officer commented in the report supplied to the Committee that "The Council is in breach of its statutory obligation to publish an annual monitoring report in respect of 2015/2016. As acknowledged in the body of the report it does not contain all of the prescribed information. Whilst the reasons for this are understood, it is important that the necessary information be published as soon as practicable, and that the report relating to the period 2016/2017 be produced without undue delay" At the time of this audit the 2016/17 report had not been produced and an action (Medium) is listed in our action plan in Section 2 of this report.

Notwithstanding the above, we noted the following examples of well-designed controls being applied effectively:

- Outlined within the Local Plan Programme is the anticipated resource requirement for the year. A dedicated team is assigned to developing the Local Plan. Other staff may be called upon by the Planning team to complete the plan itself. We established that resource requirements were considered as part of the Local Plan. Other officers as required can be called on from within the Place Development team.

- Stakeholder resources are factored into the decision making process when developing the Local Plan. Where it is clearly demonstrated that the Council does not have sufficient land supply or infrastructure capacity to accommodate all of their identified growth needs they will work with their neighbours and other strategic partners on how those needs could be addressed across a wider area. The first prescribed point in the process for formal consultation normally follows the publication of the Issues & Options Consultation Paper. This is typically referred to as the Regulation 18 consultation stage. This has yet to happen in respect of the current Local Plan review process. The Council anticipate that this formal consultation exercise will take place during the Autumn 2017

- Monitoring of reporting milestones occurs regularly at the Planning and Licensing Policy committee. We note that slippage has occurred against the initial programme timetable and that Local Plan submission to the Secretary of state originally scheduled for November 2017 is now set for May 2018. We note that officers are making progress against the revised timetable and have published a Strategic Housing Market Assessment in accordance with the timetable.

- The Council's Licensing & Planning Policy Committee considers items, including key evidence base documents, relating to the Local Plan. The Licensing & Planning Policy Committee are the main policy committee for the development of the Local Plan – they consider and agree draft documents for the purposes of consultation and submission. We selected a sample of reports related to the local plan on the Council's website and found that these had been approved by the Planning and Licensing committee

- New policies are prepared on the basis of collated evidence. The Council publishes its Local Plan Evidence Base on the Borough Council web site. Key evidence base documents, such as the Strategic Housing Market Assessment, are taken before the Borough Council's Licensing & Planning Policy Committee. The Council have in place and are in the process of producing a number of documents to support the development of the core local plan strategy. The partial review of the Core Strategy is supported and informed by new evidence and a refresh of existing technical studies.

- KPI's that measure the performance of the Local Plan are the key priorities which are measured against critical milestones. These targets form part of the overall corporate plan for the Council. We verified that performance measures are in place to measure the progression towards the completion of the local plan. These were approved as part of the priority targets for 2017/18.

1.4 Additional information to support our conclusion

The following table highlights the number and categories of management actions made. The action plan at section two details the specific actions agreed with management to implement.

Area	Control design not effective*		Non Compliance with controls*		Agreed actions		
					Low	Medium	High
Implementation of the Local plan	1	(9)	0	(9)	1	1	0
Total					**1**	**1**	**0**

* Shows the number of controls not adequately designed or not complied with. The number in brackets represents the total number of controls reviewed in this area.

2 DETAILED FINDINGS

Categorisation of internal audit findings	
Priority	**Definition**
Low	There is scope for enhancing control or improving efficiency and quality.
Medium	Timely management attention is necessary. This is an internal control risk management issue that could lead to: Financial losses which could affect the effective function of a department, loss of controls or process being audited or possible reputational damage, negative publicity in local or regional media.
High	Immediate management attention is necessary. This is a serious internal control or risk management issue that may lead to: Substantial losses, violation of corporate strategies, policies or values, reputational damage, negative publicity in national or international media or adverse regulatory impact, such as loss of operating licences or material fines.

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness in control or examples of lapses in control identified from our testing and not the outcome of all internal audit testing undertaken.

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
Area: Implementation of the Local Plan								
2.1	Risks facing the completion of the plan are documented in the Local Plan Programme. Risks identified are accompanied by mitigating actions. However, risks are not formally recorded within a risk register that is actively monitored at committee level.	No	N/a	Although the Planning team have made efforts to identify potential risks faced by the Council and reported them with the annual monitoring report this is not accompanied by a formal risk register that is reviewed at committee level. There is a risk that although risks are being identified on an annual basis these are not being monitored throughout the year as they may potentially evolve.	Low	A risk register will be developed for the project. Risk identified within the annual monitoring report will be migrated into the register and will be actively monitored via committee meetings to ensure risks and the corresponding risk mitigating strategies are up to date.	02 October 2017	Karol Jakubczyk - Planning Policy Manager Mark Berry – Head of Place Development

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
2.2	Section 35 of the Planning and Compulsory Purchase Act 2004 (as amended) requires local planning authorities to publish monitoring information to the public at least yearly in the interests of transparency.			The Local Plan Annual Monitoring Report (AMR) is under normal circumstances prepared at the end of each financial year. Officers provided the Planning and Licence Policy Committee with the 2015/16 Housing Annual Monitoring Report (AMR) in April 2017. Due to a shortage of resources the AMR was not fully completed and the Councils Monitoring Officer commented in the report supplied to the Committee that “The Council is in breach of its statutory obligation to publish an annual monitoring report in respect of 2015/2016. As acknowledged in the body of the report it does not contain all of the prescribed information. Whilst the reasons for this are understood, it is important that the necessary information be published as soon as practicable, and that the report relating to the period 2016/2017 be produced without undue delay” At the time of this audit the 2016/17 report had not been produced	Medium	In order to comply with statute the Housing Annual Monitoring Report 2016/17 will be produced as soon as possible	March 2018	Mark Berry – Head of Place Development

TRANSPORT CONTRACT MANAGEMENT - EXECUTIVE SUMMARY

1.1 Background

An audit of Transport Contract Management was undertaken as part of the 2017/18 approved internal audit plan for Epsom and Ewell Council.

In January 2017, the Council and Specialist Fleet Services Limited (SFS) renewed their contract agreement for the supply and maintenance arrangements applicable to the majority of the Council's transport fleet. SFS was selected after the contract went out to tender; the new contract will terminate in April 2027 and includes a break clause to terminate at any time within the period of the contract. Each vehicle or plant hired from SFS has its own individual contract. Whilst this must comply with the main contract, individual contracts are of differing term lengths. Therefore, some vehicles hired by the Council remain under the terms of the old SFS contract.

The fleet size and make-up is dependent on the Councils corporate objectives, operational needs and budget. At the time of our review, the Councils fleet list (which includes vehicles and plant) comprised of the following:

Ownership	Number
Hired (under new contract)	52
Hired (under previous contract.	21
Council Owned	11
Total	**84**

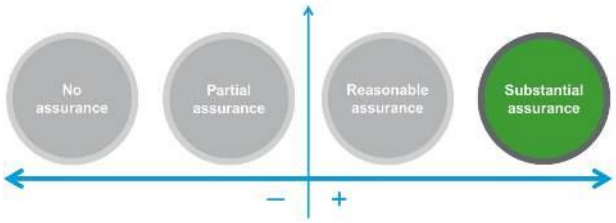
The SFS workshop is located next to the Councils transport depot which allows for direct and timely communication when vehicle inspections or additional repairs are required. The number of inspections required (per year or hour used) is defined in the contract service specification and a rolling twelve-month plan incorporating these specifications is maintained by the Transport Administrator. This ensures that inspections take place when due without impacting operational effectiveness as the vehicle will be removed from the fleet temporarily.

In instances where unscheduled repairs are needed, the Council has a register of trusted hire companies in which short term cover vehicles can be procured if they cannot cope with business need from the existing usable fleet.

Payments to SFS are made on the hire agreements by monthly Direct Debit, with any additional payments due to repairs being invoiced and approved separately. Where SFS cannot complete the repair, the Council will work with them to source the required works. All invoices require authorisation in line with the Councils financial procedures.

1.2 Conclusion

Internal audit opinion:
Taking account of the issues identified, the Council can take substantial assurance that the controls upon which the organisation relies to manage the identified area(s) are suitably designed, consistently applied and operating effectively.



1.3 Key findings

The key findings from this review are as follows:

Design, application and compliance with the control framework

We identified three '**Low**' priority issues requiring management action. One related to the design of the control framework; and two related to compliance with the control framework. Details of these low priority issues can be found in section 2.

Notwithstanding the above, we noted the following examples of sound design, application and compliance with the control framework:

- Overarching all vehicle contracts is a contract with SFS which acts as a service level agreement until contract expiry on 1 April 2027. This was signed by both SFS and the Council on 18 January 2017 prior to its commencement.

- At the start of each individual vehicle hire term and/or at the start of each tax year, an annual VAT invoice is provided for each vehicle which confirms the amounts and dates in which Direct Debit payments are required. These are approved by the Transport and Waste Services Manager and sent to Finance.

  The purchase ledger team monitor the direct debit payments to SFS through an internal spreadsheet. Each time a payment is required they will obtain the approved annual VAT invoice and reference this to the payment request. This documentation is reviewed as part of the finance payment run authorisation.

  For a sample of fifteen vehicles we were provided with the referenced invoice for each monthly payment made since 1 April 2017 (or since the start of the lease agreement thereafter) to 31 October 2017. All had been approved by the Transport and Waste Services Manager.

- A spreadsheet is used to plan and monitor compliance with safety inspections, MOTs and other vehicle licenses. Each vehicle has a twelve-month rolling plan with the inspection and license deadlines clearly marked. We selected a sample of fifteen vehicles and confirmed that the safety inspection deadlines documented in the spreadsheet were consistent with the contracted requirements from 1 April 2017 (or when the vehicle was procured thereafter) until 31 March 2017.

- A 'snapshot spreadsheet' is used to create a weekly schedule of vehicles which will be serviced by SFS. The Transport Administrator prepares a roster and provides this to each fleet manager in the prior week. We were provided with the roster for each week from 1 April 2017.

- When a vehicle is inspected or serviced by SFS a report of the works completed, actions taken and actions outstanding is provided to the Transport Administrator. These are filed for each vehicle and the snapshot spreadsheet updated to identify that the required inspection or service took place. For our sample of fifteen vehicles were we able to confirm, in all instances, that inspection reports had been provided in line with the snapshot schedule.

- Additional repairs due to failure or damage are arranged as soon as possible with SFS. Once the works are completed, the Fleetwave system will report this (Fleetwave is an SFS system for which the Transport and Waste Services Manager and the Transport Administrator have access). The works are then reviewed and approved by the Council which will trigger an invoice to be sent by SFS.

- Where repairs cannot be completed by SFS an independent contractor will be procured and paid when an invoice is received. All invoices must be authorised by either the Transport and Waste Services Manager or the Transport Administrator before being processed by Finance. We confirmed that their sample signatures were on the authorised signatory list in the Finance Department.

- We selected a sample of fifteen invoices posted to the avoidable repairs account and confirmed that in all instances an invoice was in place which was approved by either the Transport and Waste Services Manager or the Transport Administrator.

- The Transport and Waste Services Manager has access to the general ledger and therefore they can review and monitor expenditure as soon as Finance have posted invoices to the transport accounts. These can be broken down into service area, and per vehicle.

- Additional short-term hire vehicles are required when vehicles in the fleet are out of action, or where demand is above the capacity of the fleet (this is usually seasonal). Each time a vehicle is hired it is added to the 'hire spreadsheet' which documents the dates of hire, cost information, date added/ removed from insurance and a comment to justify why the vehicle was needed.

- A sample of fifteen short term vehicle hires were selected from the 'hire spreadsheet'. In all instances, we confirmed that there was a business need and that a hire agreement was signed by the Transport and Waste Services Manager. We also reviewed the invoice payments with the Finance Department. In all instances, an approved invoice was provided.

- The Transport and Waste Services Manager is the O-Licence holder and is responsible for ensuring that payment is made annually to ensure the continuation of the licence, and that any extension to the current licence terms and implemented where required in a timely manner. We obtained the Licence and confirmed that the Transport and Waste Service Manager is the Licence holder and the licence was renewed in May 2017. The vehicles listed fully reconciled to those required to be licenced on the fleet list.

- The Transport Department have a Contingency Plan in place which provides a number of procedures which must be followed by the Transport Department and their drivers, including those in the event of a reduced fleet. This was last reviewed and updated in March 2017.

- We were provided with the budget analysis for 2017/18, draft 2018/19 budget analysis and the tender options used to confirm the contract arrangements with SFS; all of which were consistent with the resulting fleet size and make-up.

1.4 Additional information to support our conclusion

The following table highlights the number and categories of management actions made. The detailed findings section lists the specific actions agreed with management to implement.

Area	Control design not effective*		Non Compliance with controls*		Agreed actions		
					Low	Medium	High
Signed contracts are held for all vehicles operated;	0	(2)	1	(2)	1	0	0
Performance targets have been set and are regularly reported to the management team	1	(2)	0	(2)	1	0	0
The vehicle fleet's size and make up is regularly reviewed to ensure it effectively meets the requirement of the Council's corporate plan;	0	(5)	1	(5)	1	0	0
Total					**3**	**0**	**0**

* Shows the number of controls not adequately designed or not complied with. The number in brackets represents the total number of controls reviewed in this area.

1.5 Additional feedback

- Each time a vehicle is taken out by a driver and returned by a driver, they are required to complete a vehicle check and report any defects in the vehicle defect log book. If no defects are found, a page in the log must still be completed to evidence the nil findings.

  We selected a sample of fifteen instances where avoidable repair costs had been posted to the ledger to ensure that the defect had been reported in the vehicle log. We were unable to complete this testing as the logs are always retained in the vehicle, and, at the time of our review they were in use.

  However, we were advised by the Transport and Waste Services Manager that non-compliance with reporting all defects has been noted, and therefore they indicated that it was likely that if we had completed this testing, errors would have been identified.

  We were provided with email evidence to confirm that prior to the audit, the Transport and Waste Services Manager had communicated their concerns to all drivers and reiterated the requirement for their continued compliance.

  As mitigating action has already taken place, we have not raised an action in relation to this finding.

2 DETAILED FINDINGS

Categorisation of internal audit findings	
Priority	**Definition**
Low	There is scope for enhancing control or improving efficiency and quality.
Medium	Timely management attention is necessary. This is an internal control risk management issue that could lead to: Financial losses which could affect the effective function of a department, loss of controls or process being audited or possible regulatory scrutiny/reputational damage, negative publicity in local or regional media.
High	Immediate management attention is necessary. This is a serious internal control or risk management issue that may lead to: Substantial losses, violation of corporate strategies, policies or values, regulatory scrutiny, reputational damage, negative publicity in national or international media or adverse regulatory impact, such as loss of operating licences or material fines.

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness in control or examples of lapses in control identified from our testing and not the outcome of all internal audit testing undertaken.

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
Area: Signed contracts are held for all vehicles operated;								
1.1	Each vehicle has an individual contract in place which operates under the conditions of the main contract which expires in 2027. The contracts are to be signed by the Transport and Waste Services Manager and a representative from SFS.	Yes	No	We selected a sample of fifteen vehicles from the 2017/18 Fleet Register to ascertain if a signed contract was in place and to ensure that the contract length as per the register had been input accurate. We identified eleven instances from our sample of fifteen where contracts had not been signed by an SFS representative. There is a risk that the individual vehicle terms have not been formally agreed by SFS which could lead to dispute.	Low	The Transport Department will ensure that all vehicle contracts held are signed by a representative at SFS.	31 December 2017	J Sharpe

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
Area: Performance targets have been set and are regularly reported to the management team								
2.1	When procuring the new contract with SFS, the Council's tender requirements included a bespoke KPI dashboard with the contractor such that more concise and applicable management information could be used for monitoring performance. Whilst a plan of the measure has been created, the target performance to monitor against each measure has not been finalised and thus the data is not yet created.	No	N/A	SFS produce a standard KPI and Performance report which is made available to EEBC monthly, and is discussed quartile when SFS and EEBC formally meet. We were provided with the October 2017 report. Through discussion with the Transport and Waste Services Manager we ascertained that SFS' tender application used to appoint them included an agreement to provide more detailed and specific KPIs to the Council. Whilst the proposed KPIs are documented, they are yet to be formally agreed. In addition, the frequency of this data being received has also not yet been decided. There is a risk that performance is not being maximised as it cannot be monitored efficiently and effectively.	Low	The KPI and reporting arrangements will be progressed as soon as possible to ensure that management information can be received and analysed regularly by the Council.	31 December 2017	J Sharpe
Area: The vehicle fleet's size and make up is regularly reviewed to ensure it effectively meets the requirement of the Council's corporate plan;								
3.1	The Council has a documented Fleet Policy. The Policy defines that the Transport Department will work with their suppliers as	Yes	No	The policy version provided was dated June 2016. Whilst we confirmed that main practises have not changed, elements of the Policy, such as the O-Licence date, are now incorrect.	Low	On an annual basis the Fleet Policy will be reviewed and updated.	31 March 2018	J Sharpe

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
	well as manage their owned vehicles in accordance with contract specifications such that they are safe, legal, fit for purpose, insured and available when needed.			There is a risk that if the Policy is not reviewed on a consistent basis, the information will no longer be applicable or reflect current best and operational practices.				

REVENUES - EXECUTIVE SUMMARY

1.1 Background

An audit of Revenues was undertaken as part of the approved internal audit periodic plan for 2017/18.

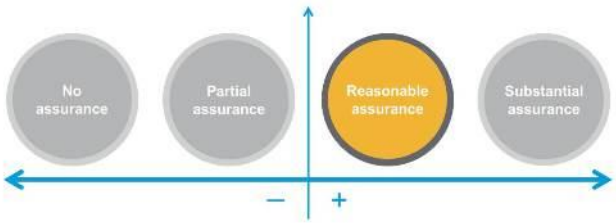
As of 5 November 2017, there were 32054 properties chargeable for Council Tax across Epsom and Ewell Borough Council's valuation list. Of these, 8929 were 'Band D' properties, paying £1743.14 for their annual fee. This represented a 4.35% increase on the Band D charge for 2016/17 (£1670.54) Annual Council Tax fees range from £1,162.09 for 'Band A' properties to £3,486.28 for 'Band H' properties.

Similarly, with regards to businesses within the Borough of Epsom and Ewell, as of 6 November 2017 there were a total of 1,816 hereditaments with a total rateable value of £64,549,247.

Monthly local performance indicators are maintained by the Head of Revenues and Benefits and the Revenues Manager. These document the percentage of total Council Tax/NNDR receipts collected. As of the end of October 2017, Epsom and Ewell Borough Council had collected 71.40% of total Council Tax receipts against a year to date target of 71.00%. With regards to business rates, the Council had collected 68.46% of NNDR business receipts against a year to date target of 67.90%. The Council has an end of year target of 99.00% collection for both Council Tax and NNDR.

The Council uses the Academy system for the management of council tax, benefits and NNDR. The document management system used is iDox. The objective of this audit was to review those controls that provide assurance that Council Tax and business rates are accurately calculated and promptly collected. Conclusion

Internal audit opinion:
Taking account of the issues identified, the Council can take reasonable assurance that the controls in place to manage this area are suitably designed and consistently applied. However, we have identified issues that need to be addressed in order to ensure that the control framework is effective in managing the identified area(s).



1.2 Key findings

The key findings from this review are as follows:

- We reviewed a sample of five monthly reconciliations between Academy and the general ledger. We could not confirm that the full sample of reconciliations had been produced in a timely manner. The August, September and October Academy to General Ledger reconciliations were delayed and were being produced at the time of our audit in November,. Failure to produce reconciliations on a monthly basis may mean errors or omissions within the monthly reconciliation balances are not identified in a timely manner. **(Low)**

- For a sample of five weekly Council Tax Valuation Office Authority (VOA) reconciliations and five weekly NNDR VOA reconciliations, we could not confirm that these two figures were reviewed by a member of the Revenues team on a weekly basis and backed up with a relevant signature to evidence checking, for NNDR only. In line with best practice, we would advise a signature and date of review be clearly documented on each weekly NNDR VOA reconciliation to evidence checking has taken place in a timely manner. **(Low)**

- For a sample of five NNDR accounts that were in arrears during 2017/18, we found one case (#100892778), to the value of £503.56, where we could not confirm that appropriate recovery action had taken place. In this case, a reminder letter (12/04/17) and a final reminder (10/07/17) was issued but no further action was taken. Failure to adequately follow the Council's specified recovery timetable leaves the Council at risk of debts becoming irrecoverable. **(Medium)**

Well-designed controls being applied effectively

- Academy is reconciled to the cash receipting system and banking records for online banking and Giro payments on a daily basis. We found the reconciliation of cash receipts was completed the following day in all ten cases sampled. In each case, we confirmed that reconciliations were produced in a timely manner, totals for each reconciliation balanced and reconciliations were prepared by one member of the revenues team before being authorised by the revenues manager.
- Amendments to council tax records for properties are entered on Academy as per the VOA (Valuation Office Authority) reports as they are received. We reviewed a sample of ten amendments finding that they were correctly updated on to Academy in a timely manner and weekly reconciliation reports were signed by the Revenues Manager.
- Amendments to NNDR records for the rateable value of properties are entered on Academy as per the VOA (Valuation Office Authority) reports as they are received. We reviewed a sample of ten changes to rateable value finding that they were correctly updated on to Academy as per the government website, and weekly reconciliation reports were signed by the Revenues Manager in a timely manner.
- The correct rates of Council Tax for 2017/18 were approved at the Full Council committee meeting on 14 February 2017. Once the council tax rates have been agreed the newly approved parameters are uploaded to Academy. Screen prints from the system are subsequently printed and reviewed by the Revenues Manager to ensure the uploaded parameters are correct. We found that the Revenues Manager had reviewed the newly uploaded parameters in a timely manner prior to the start of the financial year and a signature was in evidence.
- For a sample of ten Council Tax refunds from a variety of weekly reports, we confirmed that each refund value on academy matched that on the weekly report and each refund was adequately supported with evidence supporting the reason for the refund.
- A variety of discounts and exemptions are offered by the Council to reduce individuals' Council Tax burdens if the relief applies to them. Single Person Discounts and second home reduction are given on the basis of signed declarations. Third party documentation is required to support severe mental illness, student disregards etc. We reviewed a sample of ten discounts and exemptions, finding them to be appropriately applied.
- Reliefs are applied on application where qualifying conditions are met, such as for charities, and for those businesses that qualify for small business rate relief. For a sample of organisations subject to business relief we verified that all had the required backing documentation on file and the value of the relief had been correctly applied on Academy.
- We reviewed internal key performance indicators spreadsheets maintained and recorded by the Revenues Manager, finding them to be complete and target-focused. These spreadsheets document the percentage of total Council Tax/NNDR receipts collected and are reviewed as part of the Leadership Team Corporate Dashboard on a monthly basis.

1.3 Additional information to support our conclusion

The following table highlights the number and categories of management actions made. The detailed findings section lists the specific actions agreed with management to implement.

Area	Control design not effective*		Non Compliance with controls*		Agreed actions		
					Low	Medium	High
Reconciliations between revenues systems, cash receipting systems and the general ledger, are being carried out on a periodic basis	0	(2)	1	(2)	1	0	0
Valuation Office updates and reconciliations to ensure current Council Tax bands are accurate for properties	1	(3)	0	(3)	1	0	0
Correct rates of Council Tax have been approved at the Council and are accurate on Academy	0	(1)	0	(1)	0	0	0
Council Tax refunds are being carried out as per the Council's policies and procedures and have been appropriately authorised	0	(1)	0	(1)	0	0	0
Recovery, reminder and legal processes ensure unpaid taxes are promptly pursued	0	(2)	1	(2)	0	1	0
Discounts and exemptions for Council Tax have been effectively applied	0	(3)	0	(3)	0	0	0
Reliefs have been appropriately applied with the regards to NNDR business rates	0	(1)	0	(1)	0	0	0
Key performance indicators are in place to monitor trends in performance	0	(1)	0	(1)	0	0	0
Total					**2**	**1**	**0**

* Shows the number of controls not adequately designed or not complied with. The number in brackets represents the total number of controls reviewed in this area.

2 DETAILED FINDINGS

Categorisation of internal audit findings	
Priority	**Definition**
Low	There is scope for enhancing control or improving efficiency and quality.
Medium	Timely management attention is necessary. This is an internal control risk management issue that could lead to: Financial losses which could affect the effective function of a department, loss of controls or process being audited or possible regulatory scrutiny/reputational damage, negative publicity in local or regional media.
High	Immediate management attention is necessary. This is a serious internal control or risk management issue that may lead to: Substantial losses, violation of corporate strategies, policies or values, regulatory scrutiny, reputational damage, negative publicity in national or international media or adverse regulatory impact, such as loss of operating licences or material fines.

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness in control or examples of lapses in control identified from our testing and not the outcome of all internal audit testing undertaken.

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
Area: Reconciliations between revenues systems, cash receipting systems and the general ledger, are being carried out on a periodic basis								
1	The reconciliation of the General Ledger to Academy is undertaken on a monthly basis by the revenues manager. This reconciliation is undertaken to identify any accounting errors or omissions in a timely manner between the two balances. Once differences are identified, the are investigated by the revenues team to be	Yes	No	We reviewed a sample of five monthly reconciliations between Academy and the general ledger. In each case, we confirmed that: - the transaction totals between academy and the general ledger balanced - each reconciliation was prepared by the revenues manager before being authorised by an Accountant. An email trail exists to evidence the escalation of the Academy reports to the Accounts team.	Low	Management will ensure that all Academy to General Ledger reconciliations are produced on a monthly basis, following the submission of Academy reports to the Accounts team.	01 December 2017	Teresa Wingfield - Senior Accountant

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
	resolved as a balancing item going forward. All reconciliations are sent to a member of the Accounts Team to be reviewed and authorised before being finalised.			However, we could not confirm that the full sample of reconciliations had been produced in a timely manner. For August, September and October Academy to General Ledger reconciliations, we were unable to review reconciliations on the first day of our audit testing and they were in the process of being updated/completed. Via discussion with the Accounts team, we confirmed that there had been some slippage in the production of Academy to General Ledger reconciliations as a result of a lack of resource on the Accounts team. At the time of the audit, we confirmed that an Accountant had begun the process of reconciling monthly Academy figures to the General Ledger and this was to continue for the remainder of 2017/18. Failure to produce reconciliations on a monthly basis may mean errors or omissions within the monthly reconciliation balances are not identified in a timely manner.				
Area: Valuation Office updates and reconciliations to ensure current Council Tax bands are accurate for properties								
2	The VOA reports are reconciled to an Academy report after the input of changes.	No	N/A	For a sample of five weekly Council Tax Valuation Office Authority (VOA) reconciliations and five weekly NNDR VOA reconciliations, we	Low	Management will ensure that a signature and date of review is clearly documented on each	01 December 2017	Siobhan Gavegan - Revenues Manager

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
	The total number of properties overall and per Band/Rateable Value are agreed, however the reconciliation is not currently signed for NNDR. This reconciliation occurs on a weekly basis and any differences between the value on academy with the value VOA report are investigated			confirmed that the total number of residential properties in the Borough and the total rateable value of business properties in the Borough reconciled. However, we could not confirm that these two figures were reviewed by a member of the Revenues team on a weekly basis and backed up with a relevant signature to evidence checking for NNDR only. In line with best practice, we would advise a signature and date of review be clearly documented on all weekly VOA reconciliation to evidence checking has taken place in a timely manner.		weekly VOA reconciliation for both Council Tax properties and NNDR properties going forward.		
Area: Recovery, reminder and legal processes ensure unpaid taxes are promptly pursued								
3	Reminders, Final Letters and Summons Letters are generated by Academy according to the delay in payment. The reports are reviewed to identify any that need to be withheld because payment may have been received and not yet posted or the account holder is known to have recently deceased for example. After this review the	Yes	No	We reviewed a sample of five Council Tax arrears accounts and confirmed that appropriate action had been taken in each case. We reviewed a sample of five NNDR accounts that were in arrears at some point during 2017/18. In four cases, we confirmed that appropriate action had been taken in the recovery of the debt, with letters, summons and liability orders issued in line with the Council's recovery timetable.	Medium	Management will ensure that the identified case (#100892778) is followed up and summons are issued to the individual responsible. The Council's recovery timetable should be followed to maximise the chances of recovering the debt. In addition, management will ensure that a review of all NDDR cases that	01 April 2018	Siobhan Gavigan - Revenues Manager

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
	reminder report is run and the letters printed and sent. The dates of these are set to coincide with hearing dates set each month by the courts for dealing with arrears			However, in one case (#100892778), to the value of £503.56, we could not confirm that appropriate recovery action had taken place. In this case, a reminder letter (12/04/17) and a final reminder (10/07/17) was issued but no further action was taken. Following a lack of response/payment, the Council should have escalated this account subsequently to a summons and a liability order if necessary. Failure to adequately follow the Council's specified recovery timetable leaves the Council at risk of debts becoming irrecoverable.		are currently in arrears is undertaken to ensure all cases are currently being managed in line with the Council's recovery timetable.		

BENEFITS - EXECUTIVE SUMMARY

1.1 Background

An audit of Housing Benefits and Council Tax Support was undertaken as part of the approved internal audit periodic plan for 2017/18.

The main purpose of the service is to support local communities, including some of the most vulnerable, with financial assistance to allow them to live in their homes. This is done by efficiently administering the national Housing Benefit Scheme and Epsom and Ewell's own Local Council Tax Support Scheme. The team administering these schemes is responsible for:

- The prompt and accurate calculation and payment of Housing Benefit and Council Tax Support
- Provision of advice and support on entitlements of a range of other Welfare Benefits

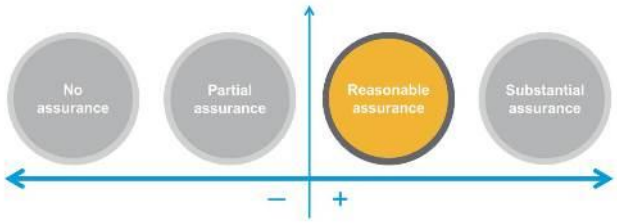
Epsom and Ewell Borough Council has decided a total of 388 new housing benefit claims at the time of audit, covering the period from 31 March - 31 October 2017. New claims for 2017/18 have taken an average of 26.47 days to process at the time of audit, compared with 29.03 days for the whole of 2016/17. Changes to currently existing Housing Benefit and Council Tax Support claims have taken an average of 10.22 days to process so far in 2017/18 at the time of audit, compared with 8.17 days for the whole year 2016/17.

The Housing Benefits and Council Tax Support claims are calculated through the use of the Academy system and an integrated document management system IDOX.

The objective of this audit was to evaluate the adequacy of control established to ensure that benefits are accurately and promptly calculated.

1.2 Conclusion

Internal audit opinion:
Taking account of the issues identified, the Council can take reasonable assurance that the controls in place to manage this area are suitably designed and consistently applied. However, we have identified issues that need to be addressed in order to ensure that the control framework is effective in managing the identified area(s).



1.3 Key findings

The key findings from this review are as follows:

- Council Tax and Council Tax Support system reconciliations are due to take place on an at least a weekly basis. We reviewed a sample of ten daily reconciliations between the Council Tax and Council Tax support system. We confirmed that Council Tax and Council Tax Support systems were in balance for the sample of ten that we selected. However, upon review of the general daily reconciliation spreadsheet, we observed 'exceptions' outside of this sample where there had been an absence or delay in reconciliation. For example, between 7-28 July and 19 September - 26 October, we confirmed that the reconciliation did not take place. Failure to produce reconciliations on an at least weekly basis may lead to the risk that errors and omissions are not identified in a timely manner. **(Medium)**

Well-designed controls being applied effectively

- We reviewed a sample of five weekly Housing Benefit system (hb6820a) to creditor system reconciliations. Each reconciliation was completed in a timely manner, was in balance and signatures were present to evidence a preparer and a reviewer.

- We reviewed the uplift of benefit payment parameters on academy in line with the rates provided by the Department of Work and Pensions in the Housing Benefit circular. For a sample of 15 new Council Tax Support / Housing Benefit rates, we found that values entered on Academy corresponded to those in the Department of Work and Pensions' Housing Benefit circular. The parameter screens were input and printed by the Benefits Manager, before being subsequently reviewed and signed by two senior members of the Housing Benefits team.

- We reviewed a sample of ten new claims at the Council in 2017/18. In each case, we confirmed a claim form is present and that clear correspondence is detailed on the Academy system between the claimant and the benefits team to detail the outcome/nature of the claim. Evidence of the claimant's earnings and ID were in evidence.

- For our sample of ten change of circumstances, we confirmed in each case that change of circumstance forms were in place which detailed the nature of the change. Evidence was provided that supported the change of circumstance, including bank statements, birth certificates and recent payslips. The claimant was informed of the decision made by the Benefits team and correspondence was in evidence.

- For a sample of ten overpayments in 2017/18, we confirmed that appropriate action was taken to recover the debt in each case in line with the Council's recovery timetable. Debts are recovered via deductions from existing entitlement, earnings attachments and lump sum payments.

- We reviewed a sample of ten Discretionary Housing Payment (DHP) claims made at the Council in 2017/18. In each case, we confirmed that a claim form was in place and was appropriately evidenced on Academy. The arithmetic behind each claim was clearly detailed and correct. 10% of DHP awards are subject to a secondary review at the end of each month.

- Backdated payments are awarded when claimants have failed to notify the Council of their eligibility to housing benefit or Council Tax support and can demonstrate good cause as to why they have not claimed it. We reviewed a sample of ten backdated payments made to housing benefit recipients in 2017/18. In each case, we confirmed a relevant form was in place with backing evidence supporting the nature of the claim. The calculation behind the backdating was correct and claimants were informed when a decision was reached.

- The Council is currently phasing in Universal Credit (UC) within the Borough. For a sample of five accounts in receipt of UC, we confirmed that four of the accounts were no longer in receipt of housing benefit. In the one exceptional case, an individual was still in receipt of housing benefit. However, through discussion with the Benefits Manager, we confirmed that this individual was still eligible to claim housing benefit as they were housed in supported accommodation within the Borough. As of November 2017, DWP refers supported accommodation UC claims back to the Borough.

- We reviewed performance indicator data for 2017/18. This detailed the speed of processing of new claims and any changes to housing benefit and council tax support claims. We confirmed that the Council is currently meeting its target of 11 days for the processing of changes to claims, with changes taking 10.22 days to process on average between April - October 2017. In addition, the Council is currently meeting its target of 28 days for the processing of new claims, with new claims taking 26.47 days to process on average between April - October 2017.

1.4 Additional information to support our conclusion

The following table highlights the number and categories of management actions made. The detailed findings section lists the specific actions agreed with management to implement.

Area	Control design not effective*		Non Compliance with controls*		Agreed actions		
					Low	Medium	High
Reconciliations between Council Tax, Council Tax Support, Creditors Systems and the General ledger are undertaken	0	(2)	1	(2)	0	1	0
The DWP's Annual uplift of benefit payment parameters have been accurately input into Academy and reviewed	0	(1)	0	(1)	0	0	0
New claims and changes in circumstances of claimants have been accurately recorded on Academy and are backed up with appropriate evidence	0	(2)	0	(2)	0	0	0
Benefit and Council Tax Support overpayments have been appropriately chased	0	(1)	0	(1)	0	0	0
Evidence that discretionary payments are authorised and are awarded based on a clear set of criteria consistently applied	0	(1)	0	(1)	0	0	0
Backdating of claims have been appropriately processed and evidence is in place to support the backdating	0	(1)	0	(1)	0	0	0
Where applicants have changed to Universal Credit, the Council have removed other benefits they're currently in receipt of once notified by DWP	0	(1)	0	(1)	0	0	0
Key performance indicators are in place to monitor performance trends	0	(1)	0	(1)	0	0	0
Total					**0**	**1**	**0**

* Shows the number of controls not adequately designed or not complied with. The number in brackets represents the total number of controls reviewed in this area.

2 DETAILED FINDINGS

Categorisation of internal audit findings	
Priority	**Definition**
Low	There is scope for enhancing control or improving efficiency and quality.
Medium	Timely management attention is necessary. This is an internal control risk management issue that could lead to: Financial losses which could affect the effective function of a department, loss of controls or process being audited or possible regulatory scrutiny/reputational damage, negative publicity in local or regional media.
High	Immediate management attention is necessary. This is a serious internal control or risk management issue that may lead to: Substantial losses, violation of corporate strategies, policies or values, regulatory scrutiny, reputational damage, negative publicity in national or international media or adverse regulatory impact, such as loss of operating licences or material fines.

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness in control or examples of lapses in control identified from our testing and not the outcome of all internal audit testing undertaken.

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
Area: Reconciliations between Council Tax, Council Tax Support, Creditors Systems and the General ledger are undertaken								
1.	The Council Tax Support system is checked daily for any imbalances. Reports are printed off and investigated. The Lead Benefits Officer reviews totals of the ct6140 and hb6820a reports to confirm that totals are in agreement.	Yes	No	We reviewed a sample of ten daily reconciliations between the Council Tax and Council Tax support system. In each case, we confirmed that: - Council Tax and Council Tax Support systems were in balance - Reconciliations were produced in a timely manner However, upon review of the general daily reconciliation spreadsheet, we confirmed that the reconciliation did not take place at least once a week since April 2017. For example,	Medium	Management will ensure that reconciliations are produced on an at least weekly basis and are appropriately documented within the reconciliations spreadsheet. Signatures and the date of review must be documented by the preparer and the reviewer.	01 January 2018	Pete Wells - Benefits Manager

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management	Implementation date	Responsible owner
				between 7-28 July and 19 September - 26 October, we could not confirm that reconciliations between Council Tax and the Council Tax Support system had taken place. In addition, we could not confirm the signature of the preparer or reviewer on the reconciliation. As of 2017, the Council has opted not to print its academy reports in line with its goal of going paperless and accordingly no handwritten signatures were in evidence. Accordingly, failure to produce reconciliations on an at least weekly basis may lead to the risk that errors and omissions are not identified in a timely manner. All reconciliations must be signed and dated by the preparer and the reviewer. Following discussion with the Benefits Manager, we confirmed that there have been issues with staff resource during summer and autumn 2017.				

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PROGRESS ON THE IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS

Report of the:	Head of Corporate Governance
Contact:	Gillian McTaggart
Urgent Decision?(yes/no)	
If yes, reason urgent decision required:	No
Annexes/Appendices (attached):	**Annexe 1** – update on the implementation of high and medium internal audit recommendations
Other available papers (not attached):	Internal Audit Assurance Report 2016/17

Report Summary

This report outlines progress made on implementing internal audit recommendations to strengthen the control environment.

Recommendation (s)

(1) The Committee is asked to note and comment on the progress on the implementation of outstanding high and medium internal audit recommendations from the 2016/17 audit programme and other outstanding recommendations.

1 Implications for the Council's Key Priorities, Service Plans and Sustainable Community Strategy

1.1 None for the purposes of this report

2 Background

2.1 The internal audit team (RSM) track progress in the implementation of audit recommendations throughout the year. Their review focuses on the high and medium recommendations only.

2.2 In their end of year report that contains the Head of Internal Audit's year end opinion, they include an update on the implementation of internal management actions. They stated that adequate progress in implementing agreed actions had been made.

2.3 In 2016/17 they reviewed four high and 22 medium outstanding recommendations. They noted that two high level management actions had either not been implemented or were in progress. These related to the PCI compliance, relating to the voice recording software and the Property Management (key maintenance schedules in the process of being prepared). The PCI compliance recommendation has been implemented and maintenance schedules have been prepared for properties in order to update the Asset Management Plan.

3 Proposals

3.1 As part of the tracking process, Internal Audit have issued an update on progress of implementing high and medium recommendations for 2017/18, there are 18 high and medium outstanding recommendations . The details are provided in **Annexe 1**. They assess whether recommendations are not due for implementation; superseded; not implemented; partially implemented or implemented.

3.2 To date nine recommendations have been implemented; five have been partially implemented, three were not implemented and one has been superseded.

3.3 The auditors had some difficulty in contacting the appropriate officers to update progress on implementation due to changes in staffing, particularly in ICT.

3.4 Progress on implementing the recommendations agreed in 2016/17 has been generally good. The three where no action has been taken are shown below and been discussed with the responsible officers. These will be followed up as part of the tracking process by Internal Audit with those that are partially implemented.

Audit	Recommendation	Action agreed
Information Governance	**All business critical systems will be tested and restored with the external provider on at least an annual basis.**	**The Acting Head of ICT will be evaluating business critical systems as part of the review of the datacentre requirements**
PCI Compliance	**The Council will draft a 3rd party PCI compliance tracking sheet and track their PCI status annually**	**This has not been implemented but the new Civica pay application which replaces Adelante will be fully complaint when implemented**
Software Licensing	**The Council will amend the existing ICT acceptable use policy to cover information such as** **-The management of software inventory database** **-The differing licence requirements for beta versions, demonstration software and freeware and** **- The undertaking of regular periodic audits of software.**	**The Acting Head of ICT will review the policy in line with the recommendation**

4 Financial and Manpower Implications

4.1 There are no specific financial or manpower implications for the purpose of this report

4.2 ***Chief Finance Officer's comments:*** There are no direct financial or manpower implications within this report

5 Legal Implications (including implications for matters relating to equality)

5.1 There can be legal implications if key recommendations are not implemented.

5.2 ***Monitoring Officer's comments:*** There are no legal implications arising directly from this report. Internal Audit reports form a key part of the Council's governance arrangements and it is important that the agreed recommendations be implemented. Where for example a recommendation is superseded this should be documented. There can be legal implications if key recommendations are not implemented.

6 Sustainability Policy and Community Safety Implications

6.1 None for the purposes of this report.

7 Partnerships

7.1 None for the purposes of this report.

8 Risk Assessment

8.1 Failure to track the progress of implementing recommendations could result in weaknesses in control and increased risks.

9 Conclusion and Recommendations

9.1 The Committee should note that reasonable progress has been made in implementing the recommendations Those areas where progress is slower or the recommendations have not been fully implemented will continue to be monitored and reported to Committee.

Ward(s) affected: (All Wards)

UPDATE ON THE IMPLEMENTATION OF RECOMMENDATIONS SUPPLIED BY INTERNAL AUDIT

Audit Title	No of recommendations	Details of recommendation	Not yet due for implementation	Superseded	Not implemented	Partially implemented / on-going	Implemented	Commentary from internal audit and response
Barrier Controlled Parking Project **2017/18 - Advisory**	1	The papers presented to the Environment Committee setting out the business cases for the car park conversions had not been reviewed by the Chief Finance Officer or the Monitoring Officer, meaning they had not been independently reviewed as financially or as legally sound.	-	-	-	-	1	We have received evidence that this action has now been implemented. All committee papers are now on Modgov and each report has a section to be completed by a member of the Finance Team and the Legal Team
Building & Planning Control **2017/18 – Reasonable Assurance**	1	When the Customer Services Team receive outstanding information to complete a building or planning control application this is not always filtered through to the Planning and Building Control Team promptly. This results in applications being delayed. There is a risk that if applications are not being promptly processed that: - there is a delay in income due to the Council; and - Reputational damage occurs meaning the building control service will potentially receive less repeat business.	-	-	-	1	-	We have received management assurance that the action has been implemented but we are still awaiting evidence to confirm actual implementation has occurred. The Building Control Manager has been reviewing outstanding cases and the process is under review

Audit Title	No of recommendations	Details of recommendation	Not yet due for implementation	Superseded	Not implemented	Partially implemented / on-going	Implemented	Commentary from internal audit and response
Business Process Review (Democratic Services **2017/18 - Advisory**	1	Further roll out of planned implementation of lean workflows has yet to be scheduled for all committees	-	-	-	-	1	We have received management assurance that the action has been implemented but we are still awaiting evidence to confirm actual implementation has occurred. This has been fully implemented and all committees are now on Mod gov
Cash Handling **2017/18 – Reasonable Assurance**	1	Electricity cards are held and sold by a local store on behalf of the Council for sale to gypsy site customers. The cash received is approximately £200 per week and is recorded in a local sales record and passed to a Housing Officer on a regular basis. A letter of receipt is subsequently issued to the store to confirm receipt and this letter records details of the cash income transacted. We note from our sample that these letters of receipt have not been issued for transactions since February 2016. (3 months)	-	-		-	1	As the officer has now left the Council, the auditors had difficulty in obtaining an update. However the council no longer operate electricity cards as responsibility for the gypsy site has been returned to Surrey County Council
Financial Management **2017/18 – Reasonable Assurance**	1	Over the course of a few months four staff members left the Finance team at the Council. As a result, resources within the department have been stretched and formal evidence of Q2 and Q3 monitoring was limited. There is a risk that if formal consistent monitoring of budgets is not taking	-	-	-		1	The Finance Team is now fully recruited and monitoring of budgets is being undertaken

Audit Title	No of recommendations	Details of recommendation	Not yet due for implementation	Superseded	Not implemented	Partially implemented / on-going	Implemented	Commentary from internal audit and response
		place the Council are not tracking the achievement of saving plans effectively (Med)						
Housing Rent Accounting and Reconciliation22016/17 – Partial Assurance	3	1. There is no reconciliation of the cash receipting system to the rent system to ensure all payments are accounted for and all suspense items have been posted to rent accounts.(Medium) 2 The procedure for arrears recovery does not specify the point at which recovery action should begin or the intervals between recovery letters (Med) 3. Arrears are not being chased effectively due to the lack of staff capacity for this and the current lack of functionality for this in the rent system.(Med)	-	-		3	-	The Housing Team are redrafting rent arrears policy, which does specify the point at which the first arrears letter should be sent, and subsequent letters after that. This will be agreed in February. There are additional resources within the team because of the new Private Sector Leasing Officer and the Temporary Accommodation Liaison Officer to ensure arrears can be chased. The rent accounting system continues to present problems and following an upgrade to the academy system , housing have limited remote access and the Housing Team are currently exploring an alternative rent accounting system.

Audit Title	No of recommendations	Details of recommendation	Not yet due for implementation	Superseded	Not implemented	Partially implemented / on-going	Implemented	Commentary from internal audit and response
PCI Compliance **2016/17 – Partial assurance**	3	1 The Council is not PCI compliant, as it has not yet completed the self-assessment questionnaire. We were informed that it has completed approximately 50% of the questions. There is a risk that it could be charged non-compliance fees by the Bank until it is compliant (High) 2 To comply with PCI requirements the Council has to ensure that its third party providers are PCI compliant, however the Council has failed to ensure this by holding copies of their current certificates.(Med) 3 Although the Council's call recording system has been upgraded and is PCI compliant it fails to be compliant when connected to the CRM system, risking the Council holding customer credit card details in breach of PCI requirements.(High)	-	-	-	1	2	Two recommendations (1 and 3) have been implemented. As the Council are moving from Adelante to Civica Pay as part of upgrading the financial system, recommendation 2 will be superseded, as Civica Pay is fully compliant.
Risk Management **16/17 – Reasonable Assurance**	2	There is not currently a documented Board Assurance Framework. This would extend the risk management approach to the inclusion of assurances as to the adequacy of the control framework in place to mitigate exposure to the risk.(Med)	-		-	-	1	The Leadership Risk Register has been enhanced to include an assurance framework of the controls in place

Audit Title	No of recommendations	Details of recommendation	Not yet due for implementation	Superseded	Not implemented	Partially implemented / on-going	Implemented	Commentary from internal audit and response
		The Partnership Risk Register requires review and update (Med)		1				The Partnership Risk Register is no longer maintained as agreed with internal audit
Follow Up (Previous Years Actions)	5	**Information Governance - 15/16**						
		All business critical systems will be tested and restored with the external provider on at least an annual basis (Med)			1			Not implemented and will be addressed when Datacentre arrangements are reviewed
		PCI Compliance 15/16						
		The Council will draft a 3rd party PCI compliance tracking sheet and track their PCI status annually.(Med)			1			Not implemented due to transfer to Civica Pay as stated above
		The Council will ensure that the chosen call recording software that 'records' conversations in scope of PCI is PCI compliant (High)					1	Implemented and covered by audit in 2016/17

Audit Title	No of recommendations	Details of recommendation	Not yet due for implementation	Superseded	Not implemented	Partially implemented / on-going	Implemented	Commentary from internal audit and response
		FOLLOW UP FROM PREVIOUS YEARS						
		Software Licensing 15/16			1			
		The Council will amend the existing ICT Acceptable Use Policy to cover information such as: (Med) - The management of the software inventory database; The differing licence requirements for beta versions, demonstration software and freeware; and - The undertaking of regular periodic audits on software.						Acting Head of ICT is reviewing the policy
		Venues 15/16					1	
		The Council has a timetable for the completion of a venues marketing and cost saving plan. The plan will address: (Med) - how the Council aim to increase revenue; - how the Council aim to cut costs; - a marketing plan; and						The Playhouse has a Marketing Plan and a dedicated resource. Draft plans are in place for Bourne Hall and Ewell Court House. As part of the Income Generation Plan, a corporate marketing resource is being established.

Audit Title	No of recommendations	Details of recommendation	Not yet due for implementation	Superseded	Not implemented	Partially implemented / on-going	Implemented	Commentary from internal audit and response
		- Future forecasted spend on improving the venues.						
	18		-	1	3	5	9	

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REVIEW OF THE ARRANGEMENTS FOR PUBLICISING AND DETERMINING PLANNING APPLICATIONS - UPDATE REPORT

Report of the:	Head of Place Development
Contact:	Mark Berry
Urgent Decision?(yes/no)	No
If yes, reason urgent decision required:	
Annexes/Appendices (attached):	**Annexe 1** – Progress Schedule January 2017
Other available papers (not attached):	Report of the Scrutiny Review Task Group on the Administrative Arrangements for Publicising and Determining Planning Applications – April 2016.

Report Summary

This report updates Members on the progress made to-date in implementing the recommendations of the Scrutiny Review Task Group on the Administrative Arrangements for Publicising and Determining Planning Applications. It shows that good progress has been made and that nearly all actions have been completed. The Committee is recommended to note the report, to refer the telecommunications masts policy to the Head of Property to finalise and to undertake a customer satisfaction survey as and when resources allow.

Recommendation (s)

(1) That the achievements on the outstanding items referred from the April 2017 meeting be noted.

(2) That the review of the Council's policy on telecommunications masts sited on Council land, be taken forward by the Head of Property and reported to the appropriate Committee in due course.

1 Implications for the Council's Key Priorities, Service Plans and Sustainable Community Strategy

1.1 An effective planning system supports all of the key priorities in the Corporate Plan. The Review and its recommendations therefore support delivery of that plan.

2 Background

2.1 At the meeting of the Audit, Crime & Disorder and Scrutiny Committee held on 5 February 2015, the Committee agreed that it wished to undertake a review of the administrative arrangements associated with the publication and determination of planning applications during 2015/16.

2.2 The Committee agreed the scope of its review in April 2015. It agreed that the investigation should focus on planning administrative processes which supported the publication and determination of validated planning applications, particular reference to be paid to public holiday periods such as Easter and Christmas. Applications concerning telecommunications were included within the scope of the review. Actual planning decisions made or impending were excluded from the review.

2.3 The Committee agreed that a task group should be appointed to undertake the investigation. Three Members were appointed in June 2015. Investigation work commenced in October 2015 and a report relaying the results of the investigation was presented to the Committee in April 2016.

2.4 That Committee approved that report and noted that a progress update on the implementation of the recommendations contained within the Task Group's report would be presented to a future meeting.

2.5 The first update was taken to the 11 April 2017 committee meeting when it was noted that many of the recommendations had been implemented. A further update was requested on the remaining items and this report does that.

3 Proposals

3.1 **Annexe 1** shows those items that had been completed in April 2017 and those which have been completed since. Pending the outcome of the Planning Committee meeting on 18 January 2018, the only outstanding items relate to the Council's policy on siting telecommunications masts on Council land and a customer satisfaction survey respectively.

3.2 The telecommunications mast policy relates to the prohibition of new masts on Council land within exclusion zones around recreational areas and schools. The policy has been little used since its inception in 2006. The origins of it were around a proposed controversial installation on Court Recreation Ground and the then Telecommunications Sub-Committee resolved to adopt the policy in the light of the objections received at that time.

3.3 Reviewing the policy has not been prioritized following the departure of the Planning Improvement Manager. There has been no real issue in recent years as the number of proposals for new telecommunications masts has declined markedly and a lot of pre-consultation takes place under the Code of Best Practice on Mobile Network Development in England. The only site that has caused controversy in recent times is one on Salisbury Road next to Auriol Park. Otherwise, no issues have arisen.

3.4 It is recommended that the policy is reviewed by the Head of Property and that a report is made to the relevant Committee in due course.

3.5 The customer satisfaction survey has not yet been undertaken. However, the Peer Review in September 2017 engaged with many internal and external customers and stakeholders. It would be appropriate to undertake the customer satisfaction survey later in 2018, subject to the necessary resources being available.

4 Financial and Manpower Implications

4.1 The completion of nearly all the recommendations emerging from the review has been done within existing budgets. The remaining item on telecommunications masts can also be done without any additional resource. The customer satisfaction survey can be undertaken once resources allow.

4.2 **Chief Finance Officer's comments:** None for the purposes of this report.

5 Legal Implications (including implications for matters relating to equality)

5.1 The revised Member protocol for Planning and the associated training will be important in enabling the Local Planning Authority to demonstrate that it continues to have proper procedures in place to administer the planning process lawfully and in accordance with the Council's Corporate Values.

5.2 **Monitoring Officer's comments:** None for the purposes of this report.

6 Sustainability Policy and Community Safety Implications

6.1 There are no sustainability or community safety implications arising from this report.

7 Partnerships

7.1 The Local Planning Authority's engagement with its partners is intrinsic to a successful planning process. Implementation of the Scrutiny Review Task Group's recommendations will support this.

8 Risk Assessment

8.1 There are no significant risks associated with this report.

9 Conclusion and Recommendations

9.1 The Scrutiny Review Task Group's recommendations of April 2016 have mostly been implemented. The planning service has been improved in consequence. The only remaining items are the review of the telecommunications mast exclusion policy and the implementation of a customer satisfaction survey. The former can be referred to the Head of Property to review and report to the relevant committee as necessary. The survey can be implemented as resources allow.

Ward(s) Affected: (All Wards);

REVIEW OF THE ARRNAGEMENTS FOR PUBLICISING AND DETERMINING PLANNING APPLICATIONS – UPDATE REPORT

PROGRESS SCHEDULE – MARCH 2017

Recommendation	Subject	Actions	Status
1	Review of Delegation Scheme	To be reported to the Planning Committee on 18 January 2018	Achieved
2	Review of Model Code of Good Practice for Members regarding Planning	To be reported to the Planning Committee on 18 January 2018	Achieved (subject to Council approval)
3	Maintain Call-in process but provide training for Members	The Call-in process is to be reviewed at the 18 January Planning Committee and a comprehensive training programme is under consideration by the Planning Improvement Action Plan Working Group	Achieved and the training plan currently under consideration by the Working Group.
4	Call-in process – Councillor call-in protocol	To be reported to the Planning Committee on 18 January 2018	Achieved
5	Exclusion of certain application categories from the call-in procedure	To be reported to the Planning Committee on 18 January 2018	Achieved
6	Replacement of Canary	Canary discontinued in April 2016	Reported as achieved in April 2017
7	Review of SCI – “Your Involvement in Planning”	Adopted by Council on 14 February 2017	Reported as achieved in April 2017
8	Site notices for telecommunications proposals.	Implemented through “Your Involvement in Planning”	Reported as achieved in April 2017

9	Review Neighbour notifications for telecommunications applications	Implemented through “Your Involvement in Planning”	Reported as achieved in April 2017
10	Review policy on siting of telecommunications masts	Refer to Head of Property to take forward	Outstanding
11	Look to undertake a Customer Satisfaction Survey	A Peer Review has provided useful intelligence on the service. Timing for a customer satisfaction survey has not yet agreed. Will be undertaken once resources have been identified.	Outstanding

Audit, Crime & Disorder and Scrutiny Committee
8 February 2018

Agenda Item 7

CORPORATE PLAN: PERFORMANCE REPORT TWO 2017 TO 2018

Report of the:	Head of Corporate Governance
Contact:	Adama Roberts
Urgent Decision?(yes/no)	No
If yes, reason urgent decision required:	N/A
Annexes/Appendices (attached):	**Annexe 1** – Performance Report Two 2017 to 2018 **Annexe 2** – Overview of Key Priority Performance Targets Reported under Phase Two
Other available papers (not attached):	Corporate Plan 2016 to 2020

REPORT SUMMARY

This report provides an update against our Key Priority Performance Targets for 2017 to 2018, under our Corporate Plan.

RECOMMENDATION (S)

(1) That the Committee considers the performance reported in Annexe 1 and identifies any areas of concern.

(2) That the Committee considers the actions that have been proposed or taken where performance is currently a concern as shown in table 3.1.

(3) That the Committee notes the overview of the Key Priority Performance Targets in Annexe 2.

1 Background

1.1 The Council has a four-year Corporate Plan for the period 2016 to 2020.

1.2 The Corporate Plan sets out the Council's vision together with its four Key Priorities. The four Key Priorities are underpinned by 19 Key Priority Objectives and measured against 66 Key Priority Performance Targets.

1.3 The delivery of the Corporate Plan will be captured in the performance reports, which are based around Committee cycles and details what will be done, what the targets are and how these will be measured. The desired key outcomes have also been outlined in the Corporate Plan. An annual year-end report will be produced to highlight delivery against the Corporate Plan.

2 Changes to the Performance Management Framework

2.1 The new performance framework was introduced in 2016/17 with the Corporate Plan 2016 - 2020 and improved the way we report upon performance. This is well established but there is an issue with the timeliness of data, in order to fit into the committee cycle. The process to collect data starting more than 6 weeks before being reported.

2.2 It was agreed by Chairmen's Group on 28 September 2017, that the process for reporting performance targets could be more aligned to the financial reporting process, with reports being issued direct to councillors and not reported through committees. This enables the information to be timelier and more relevant. In addition, the information is available for all councillors to review. The performance targets for phase 2 (August to December) were issued on 8 January. In line with the responsibilities of this Committee, the performance targets will continue to be reported for review.

2.3 The targets for 2018/19 will be set for each Committee in consultation with the relevant chair and vice chair and a report will go to the relevant committee to approve the targets.

3 Corporate Plan: Delivery against Key Priority Performance Targets set

3.1 This report tracks the progress against the Key Priority Performance Targets previously agreed by the Committee. On the whole performance is good as shown in the table below. Consideration should be given to any Key Priority Performance Target where performance is currently a concern as shown in table 3.1.

Performance status		
Key to reporting status		**Number**
G	On track/achieved	42
A	Slightly off track, not a major concern or slippage	11
R	Off track or unlikely to be achieved for projected year	10

Information indicators	These indicators are for information only	3
	Total	**66**

4 Actions identified for the Key Priority Performance Target where performance is currently a concern

4.1 Red Key Priority Performance Target and remedial actions identified

Not achieved	**Actions identified**
Supporting our Community At least 15 households accommodated through the private sector leasing (PSL) scheme	Three households have been accommodated in Private Sector leased property to date however; alternative pathways are in place including the rent deposit scheme.
Introduce a programme for raising awareness of volunteering initiatives in Epsom & Ewell	This target has been reviewed and a decision made to put it on hold until 2018/19.
Managing our Resources Epsom Cemetery extension: Conduct ecological and ground water risk assessment; Submit the planning application	This project is behind target due to its complexities. A consultant is being procured to provide specific expertise to submit a planning application for the cemetery extension.
To produce a proposal in regards to an Asset Management Strategy and Ten year maintenance plan	As a result of reviewing the property portfolio the production of the Asset Management Strategy has been delayed but will be reported to Strategy & Resources in 2018/19.
Supporting businesses and our local economy To agree and implement a scheme for the allocation of the neighbourhood portion of Community Infrastructure Levy (CIL) (15%)	The report was deferred but will go to Strategy & Resources on 1 February.
No more than ten per cent of major planning applications allowed at appeal (using the two-year rolling assessment period defined by the government)	The Planning Improvement Action Plan is in place, which will address future decision-making.
Plan E (Phase 1): Finalise and agree the design for the Market Place improvements in partnership with Surrey County Council (SCC)	Some decisions on the final design are outstanding but Phase F of Plan E started on 8 January and the bus stand is now operational. Phases E and G will commence in February. With regular weekly updates on progress from SCC.
Complete a review of the benefits/disadvantages of establishing a Joint Local Committee and report to S&R	This target has been delayed because of staffing resources and will be reviewed once the new Chief Legal Officer is in post.

Develop the business case for a business hub and report to S&R	An alternative venue is being reviewed and this option will be considered and members informed
To carry out a corporate review of all marketing and promotions to agree an overall strategy	In order to align with the Income Generation Plan further work on corporate marketing was put on hold. Once the Income Generation Plan is finalised this will be reviewed to support those areas identified that would benefit from marketing

5 Financial and Manpower Implications

5.1 **Chief Finance Officer's comments:** None for the purposes of this report

6 Legal Implications (including implications for matters relating to equality)

6.1 **Monitoring Officer's comments:** There are no legal implications arising from this report. The implications around each individual target are considered as those targets are considered and action is taken.

7 Sustainability Policy and Community Safety Implications

7.1 There are no particular community safety implications for the purpose of this report.

8 Risk Assessment

8.1 Actions have been identified for those Key Priority Performance Targets where performance is currently a concern.

9 Conclusion and Recommendations

9.1 The Committee is requested to consider the performance reported and identifies any areas of concern.

9.2 The Committee is requested to note the overview of the Key Priority Performance Targets

9.3 The Committee is requested to consider the actions that have been proposed where performance is currently of concern.

WARD(S) AFFECTED: (All Wards);

Corporate Plan: Key Priority Performance Targets

Performance Report: Phase Two 2017/2018

Corporate Plan: Key Priority Performance Targets

Performance Report: Phase Two 2017/2018

Performance status						
Key to reporting target status		Keeping our borough clean and green	Supporting our community	Managing our resources	Supporting businesses and our local economy	Totals:
G	On track/achieved	10	6	18	8	42
A	Slightly off track not a major concern or slippage	3	2	3	3	11
R	Off track or unlikely to be achieved for projected year	0	2	2	6	10
Information Indicators	These indicators are for information only	-	-	-	3	3
No Data	No data	-	-	-	-	-
	Totals:	13	10	23	20	66

Keeping our Borough Clean and Green

We will do this by:

Providing quality parks, nature reserves and other public spaces that are safe, pleasant and well maintained

Accommodating sustainable development whilst protecting the green belt in accordance with Policy

Introducing a premium weekly waste and recycling service as standard for all residents and encourage more household waste to be recycled

Keeping the streets and public spaces clean and tidy

Taking action to reduce graffiti, littering, flytipping, flyposting illegal, advertising and dog fouling

KEY OUTCOMES

- Management plans for all major parks and public spaces
- Premium weekly recycling and waste service as standard for all residents introduced from Spring 2017
- Recycling clubs with local schools

KEY SUCCESS MEASURES

- External accreditation for our major parks and public spaces
- Delivery of the Biodiversity Action Plan
- Increase in recycled household refuse
- Street cleanliness assessment

Keeping our borough clean and green – Key priority					
Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Providing quality parks, nature reserves and other open spaces that are safe, pleasant and well maintained	Maintain external accreditation to recognise the quality of: • Alexandra Recreation Ground • Ewell Court Park • Rosebery Park	Ian Dyer Head of Operational Service (C&WC)	31 March 2018	**April to Sept:** Earlier in the year we entered Alexandra Recreation Ground, Ewell Court Park and Rosebery Park in to the Green Flag Scheme. Judging took place in June and all our entries have been successful. We will soon be flying the Green Flag in all these sites. **Oct to Dec:** All flags are now displayed at these sites. Target Achieved. **Jan to March:**	G
	Produce an Operational Management Plan for: • Rosebery Park • Ewell Court	Ian Dyer Head of Operational Service (C&WC)	31 March 2018	**April to Sept:** Rosebery Park Management Plan has been completed and we are now starting work on Ewell Court**.** **Oct to Dec:** Ewell Court Management Plan has been started and is due for completion in January 2018. **Jan to March:**	G

Keeping our borough clean and green – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Providing quality parks, nature reserves and other open spaces that are safe, pleasant and well maintained	Local Biodiversity Action Plan (LBAP): • Undertake the scoping exercise for a Borough-wide veteran tree survey • Complete inspections and compile the data on veteran trees for two wards	Mark Berry Head of Place Development (C&WC)	31 October 2017 31 March 2018	**April to Sept:** Progress with veteran tree/Heritage Asset mapping is as follows: the desk or scoping exercise is approx. two thirds completed. The exercise has shown that there are hundreds of trees to check right across the borough. A significant amount of officer time will be needed to investigate and determine the status of the currently mapped possible veteran trees. The reason that we chose just two Wards is that we knew from the start that the whole borough was likely to take several years and the scoping exercise is confirming that it's a bigger task than predicted.	A
				Oct to Dec: Progress with veteran tree/Heritage Asset mapping is as follows: the initial desk mapping exercise is essentially completed. The result is a map locating hundreds of trees that need to be checked across the borough. The Field work pilot has been completed in Town Ward and is currently underway in Cuddington Ward and should be complete by March 2018. As predicted the field exercise has confirmed that recording our veteran trees will take several years with current resources. This has led to the creation of a traffic light key for the map which will allow the map to function straight away as field work is taking place.	
				Jan to March:	

Keeping our borough clean and green – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Providing quality parks, nature reserves and other open spaces that are safe, pleasant and well maintained	Complete refurbishment of: • Tennis courts in Alexandra Recreation Ground • Basketball courts in Alexandra Recreation Ground • Rosebery Park pond	Ian Dyer Head of Operational Service (C&WC)	30 September 2017 31 March 2018 31 March 2018	**April to Sept:** The three Tennis and one basketball courts have been successfully resurfaced in Alexandra Rec. The works took three weeks and the contractor Sovereign Sports will be cleaning up site and leaving on 06/09/17. The courts will be locked and unavailable for the next three weeks whilst the surface settles. The contractor will return in three weeks time depending on the weather to apply surface coating markings, to fit new nets and posts. All works to date have been carried out successfully within budget and agreed timescales without issues. Rosebery Park pond has been delayed slightly due to completion of fire risk assessments. A documentation and specification for tender is currently been prepared. The documents will be issued out to tender by 15 September, with a start on site at end of October 2017. Although slightly delayed this meets requirements for less disturbance to wildlife and its best that works are not carried out during school summer holidays.	G
				Oct to Dec: Following the tender C J Thorne appointed as contractors for the Rosebery Pond works. Pre-start meeting held on 22 November. Works due to start on Monday 8th January 2018 for approximately 3 months dependant on weather.	
				Jan to March:	

Keeping the borough clean and green – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Accommodating sustainable development whilst protecting the green belt in accordance with Policy	Complete issues and options consultation on the partial review of the Core Strategy	Mark Berry Head of Place Development (L&PPC)	30 September 2017	**April to July:** The Issues and Options report is being prepared with a proposed consultation paper to be published in September subject to Committee approval. It is anticipated that this target will be achieved by the end of September.	G
				Oct to Dec: Consultation completed and results to be conveyed to the Licensing and Planning Policy Committee in January 2018.	
				Jan to March:	
	Issue the pre-submission consultation for the Partial Review of the Core Strategy	Mark Berry Head of Place Development (L&PPC)	31 March 2018	**April to July:** Subject to completion of the Issues and Options above, we will be able to progress to the pre-submission consultation stage.	G
				Oct to Dec: A lot of preparatory work has been done to bring forward the debate on how much growth we can accommodate and where that growth should be accommodated. The Issues and Options consultation has been completed and the Local Plan Programme is still on target for a submission to the Secretary of State in mid-2018 including issuing the pre-submission consultation by 31 March 2018.	
				Jan to March:	

Keeping our borough clean and green – Key priority

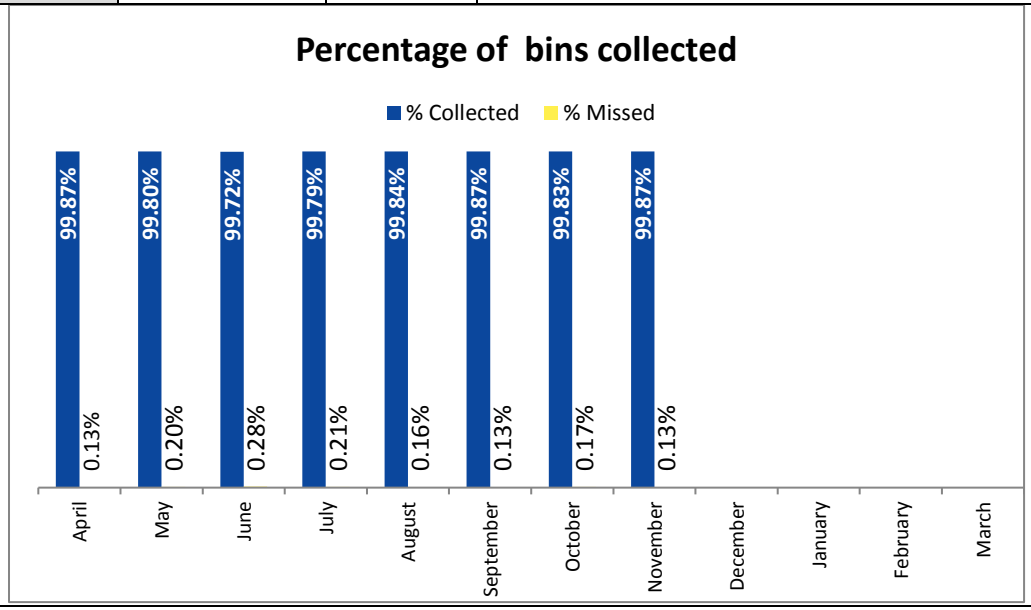
Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Introducing a premium weekly waste and recycling service as standard for all residents and encouraging more household waste to be recycled	Implement the new simply weekly recycling service to all residents	Ian Dyer Head of Operational Service (EC)	30 July 2017	**April to Sept:** Big Switch launched to all houses May/June. Excellent reception to new service from residents, and launch operations were highly successful. Service bedded in well and operating smoothly.	G
				Oct to Dec: Big Switch launched to flats, hopeful that this will now add further to our recycling performance.	
				Jan to March:	
	Recycle 53% domestic waste	Ian Dyer Head of Operational Service (EC)	31 March 2018	**April to Sept:** As at July 51% has been recycled, this figure is provisional. First month of full Simply Weekly Recycling (SWR) system at houses. The introduction of SWR has resulted in a big rise in dry recycling, up from 573 tonnes last July to 615 tonnes this July, and food waste has risen from 167 tonnes last July to 179 tonnes this July. But garden waste continues to lag, with 562 tonnes last July but only 420 tonnes this July. This has served to continue to depress the overall recycling figure. Hopefully the wet weather in July and early August will provide a boost to garden waste recycling in August.	A
				Oct to Dec: The recycling rate for November is 47.86%**.** Overall, the monthly recycling rate is only 1.13% points higher than Nov '16 (46.73% overall recycling rate). During November we implemented the Big Switch at flats, which we hope will now provide a small boost to performance.	
				Jan to March:	

Keeping our borough clean and green – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Introducing a premium weekly waste and recycling service as standard for all residents and encouraging more household waste to be recycled	Promote household recycling by holding: • 20 road shows • 3 school events	Ian Dyer Head of Operational Service (EC)	31 March 2018	**April to Sept:** Overall, 65% of roadshows have been carried out ie 13 pre-launch Big Switch roadshows in April/May. Roadshows and schools thereafter temporarily suspended while service beds in, and will re-start September to reinforce service introduction. **Oct to Dec:** 5 further roadshows at Sainsbury's were completed, focusing on what can be recycled and encouraging people to support our new service. **Jan to March:**	G

Keeping our borough clean and green – Key priority

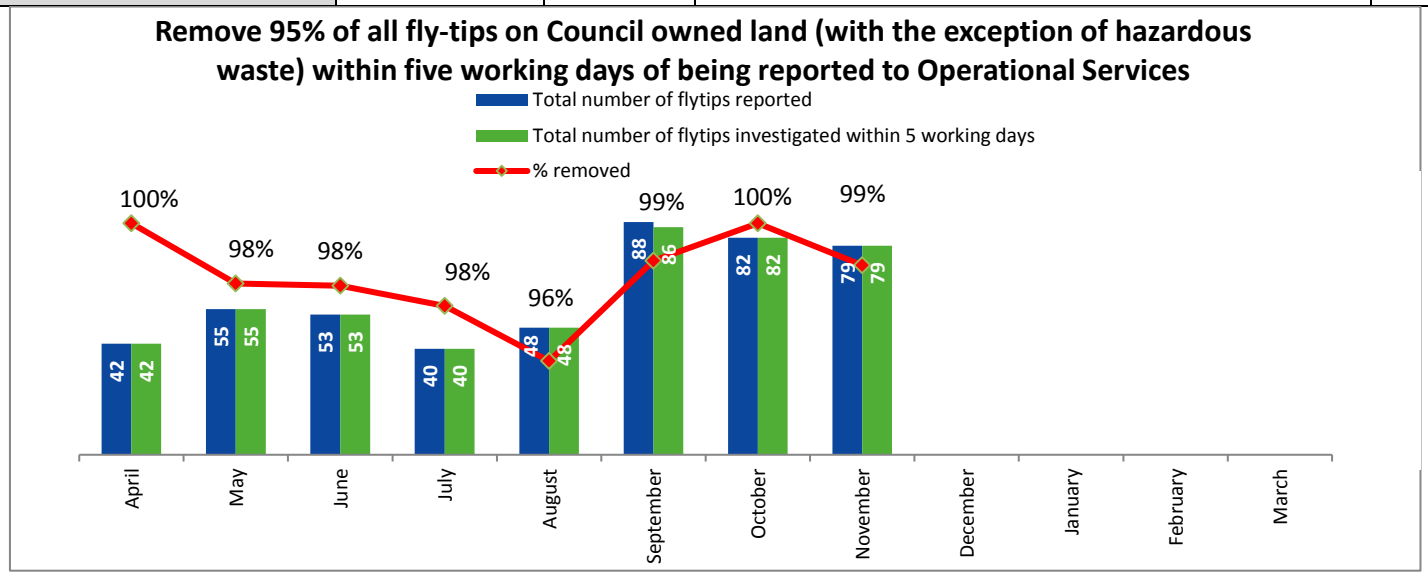
Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Introducing a premium weekly waste and recycling service as standard for all residents and encouraging more household waste to be recycled	Over the year at least 99% of bins to be collected on average each week	Ian Dyer Head of Operational Service (EC)	31 March 2018	**April to Sept:** Year to date, we have collected 99% of bins. **Oct to Dec:** As at November, we have collected 99.87% of bins. **Jan to March:**	G



Keeping our borough clean and green – Key priority					
Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Keeping the streets and open spaces clean and tidy	Twice yearly street cleansing survey based on a random selection of 113 areas achieving a cleanliness rating of Grade B or above in 65% of all selected streets • Phase 1 (Apr to Aug) to be reported in September • Phase 2 (Sept to Mar) to be reported at year-end	Ian Dyer Head of Operational Service (EC)	31 March 2018	**April to Sept:** Overall, a total of 113 streets, parks and shopping parades have been surveyed across all Wards (approx. 9 areas per Ward). Of the 113 surveyed all Wards scored an overall B for grass cutting, detritus, litter, fly-posting and graffiti and an overall C for weeds. Weeds in gullies were most prolific and this can be attributed to the lack of big mechanical sweeper which was taken off the fleet for financial reasons. This decision has recently been reversed due to the impact noticed and a big mechanical sweeper forms part of the fleet. The sweeper has recently been retro-fitted with weed spraying technology and will soon be fitted with weed ripping tines. This should now start to address the score recorded for weeds.	G
				Oct to Dec: Due to Autumn there is no surveying carried out in this period. This target will be achieved by year-end.	
				Jan to March:	

Keeping our borough clean and green – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Keeping the streets and open spaces clean and tidy	Fly tips: • Investigate all fly-tips within five working days of being reported to Operational Services • Remove 95% of all fly-tips on Council owned land (with the exception of hazardous waste) within five working days of being reported to Operational Services	Ian Dyer Head of Operational Service (EC)	31 March 2018	**April to Sept:** Year to date, all fly tips reported have been investigated within five working days and slightly over 95% removed. **Oct to Dec**: As at November, 99% of fly-tips on council owned land were removed within five working days. **Jan to March:**	G



Keeping our borough clean and green – Key priority					
Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	
Taking action to reduce graffiti, littering, flyposting, illegal advertising and dog fouling	To identify options for future enforcement action and report to Committee	Head of Environmental Health Rod Brown/ Environmental Health Team Leader/ Oliver Nelson (EC)	31 March 2018	**April to Sept**: No action taken to date however, a report will be brought to Committee in January outlining the options available. **Oct to Dec:** Experimentation with use of fixed penalty notices for littering, flytipping and duty of care offences has been ongoing. Options report to be delivered at the March 2018 Environment Committee. **Jan to March:**	A

Supporting our Community

We will do this by:

Supporting and enabling the delivery of affordable homes

Helping those at risk of homelessness

Promoting healthy and active lifestyles, especially for the young and elderly

Encouraging and supporting volunteering initiatives

KEY OUTCOMES

Increase supply of homes to meet local needs

Residents supported from becoming homeless

Implement the Leisure Development Strategy

KEY SUCCESS MEASURES

Delivery of affordable homes

Long term empty properties brought back into use

Reduction in homelessness
Increase our supply of temporary accommodation

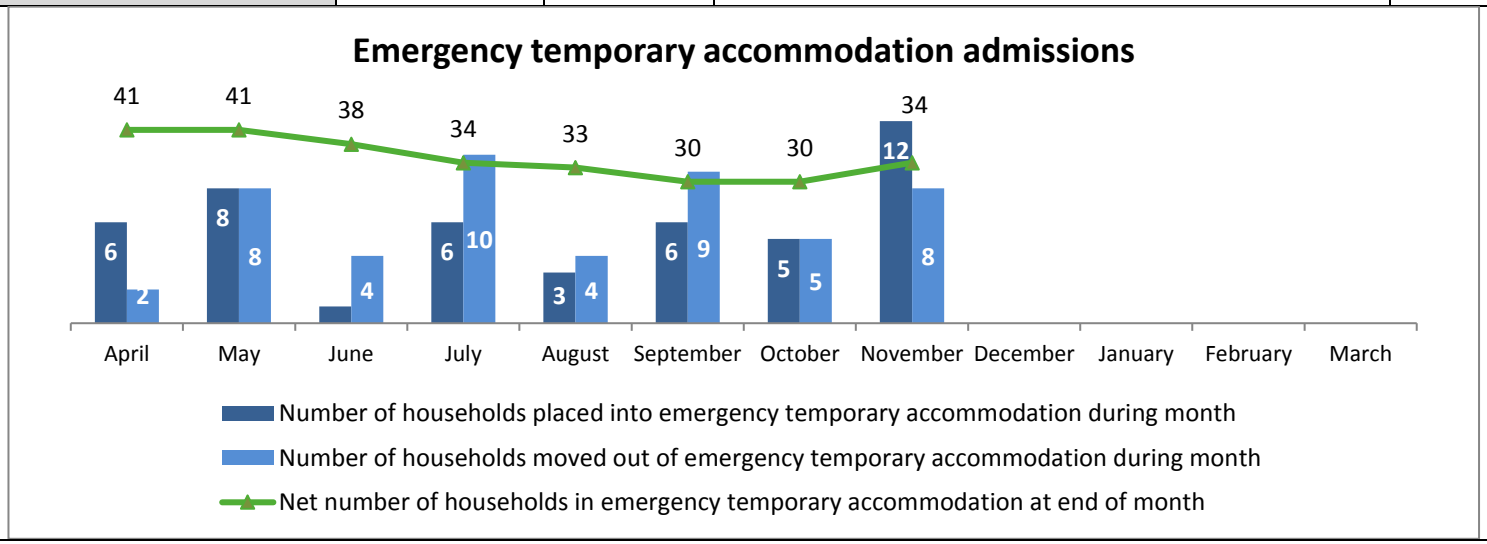
Deliver the targets within the Leisure Development Strategy

Supporting our community – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Supporting and enabling the delivery of affordable homes	Secure two additional residential properties to be used as temporary emergency accommodation and ensure occupation within one month of completion or after works completed	Rod Brown Head of Housing & Environmental Services (C&WC)	31 March 2018	**April to Sept:** A lack of suitable properties at the right price currently but positive discussions had about acquiring several properties which may come to fruition within the year. **Oct to Dec:** Offers accepted on two additional properties with likely exchange in early 2018. **Jan to March:**	G
Helping those at risk of homelessness	At least 15 households accommodated through the private sector leasing (PSL) scheme	Rod Brown Head of Housing & Environmental Services (C&WC)	31 March 2018	**April to Sept:** PSL scheme launched and two landlords ready to be signed up and a number of leads of other landlords interested in participating. This will lead to two households being accommodated. **Oct to Dec:** Three properties operating well. Other housing pathways such as the Rent Deposit Scheme have been providing suitable accommodation reducing the need for 15 units as PSL. **Jan to March:**	R

Supporting our community – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Helping those at risk of homelessness	Have no more than 50 households living in emergency nightly paid temporary accommodation per month	Rod Brown Head of Housing & Environmental Services (C&WC)	31 March 2018	**April to Sept:** We have 33 households in B&B. Year to date, this has reduced by 37% when compared to last year (n=54) and by 17% when compared to April (n=41). However, it should be noted that this figure is not likely to get any lower. However, the team will continue to implement measures agreed to improve it as much as possible.	G
				Oct to Dec: As at November we have 34 households in B&B and 4 people placed under Severe Weather Emergency Protocol (SWEP).	
				Jan to March:	



Supporting our community – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Promoting healthy and active lifestyles, especially for the young and elderly	Leisure development strategy: • Deliver Epsom & Ewell entry into the Surrey Youth Games (SYG)	Sam Beak Leisure Development Manager (C&WC)	31 July 2017	**April to Sept:** There were 557 young people from Epsom & Ewell registered for the SYG 2017. This compared to 523 in 2016. We had 60 volunteer and coaches representing 15 local sports clubs and organisations who helped to deliver free taster sessions. Team Epsom & Ewell came 2nd and retained the Highest Team Entry Award for the 10th consecutive year. A presentation evening to celebrate the achievements of Team Epsom & Ewell was held at Epsom Playhouse where over 300 guests attended. Target achieved.	G
				Oct to Dec: Target has been completed and plans are underway for 2018's campaign.	
	Community & Wellbeing Centre: • To obtain approval for a programme of refurbishment work at the Community & Wellbeing Centre and carry out the works • Increase membership by a further 55 • Promote increased use by under 55s by holding at least three taster sessions/activities	Andrew Lunt Head of Venues & Facilities (C&WC)	31 March 2018	**April to Sept:** This is currently on target. Improvement options are being costed and engineers are being consulted to determine the viability of building an extension on the property. The membership of the centre currently stands at 650 against the membership at the start of April which was 672. This reduction is fairly typical for this time of year and the centre team predict an increase in numbers of the coming months. Work on taster sessions/activities will commence in October.	G
				Oct to Dec: A list of improvements was sent to relevant members and materials are now being purchased. A business plan is being produced in order to secure the funding for a building extension. So far we have 34 new members. We are on target to achieve the 55 additional members. The taster sessions will be held in the last quarter of the year.	
				Jan to March:	

Supporting our community – Key priority					
Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Promoting healthy and active lifestyles, especially for the young and elderly	Implement new FlexiRoute system	Ian Dyer Head of Operational Services (C&WC)	28 February 2018	(see below)	G
	April to Sept: Work completed to date include: Training on FlexiRoute; driver and vehicle profiles; menu profile; clients profiles and fares profiles for transport; client and fare profiles for meals at home. Scheduled work include: • Meals at home route for the borough by end of September • Day centre and vulnerable adults clients profiles • by October • Payment methods for pay on booking by end of September • Implementation of payment system once testing completed • Training with Customer Services tbc • Go live date to be agreed with Finance and Customer Services • Route planner training date tbc. Further development has been needed with regards to the direct debit payment and how it will work with our financial system this is on target.				
	Oct to Dec: Works completed to date include: The payment module has been completed and has also been tested with Finance. Communications will be forwarded to all clients by the end of December to inform them of the changes to the services with regards to payment on booking. As Meals at home payment methods are mainly Direct Debit we will be commencing the first switchover to Flexiroute in January. Second phase will be to move the transport to Flexiroute in February.				
	Jan to March:				

Supporting our community – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Promoting healthy and active lifestyles, especially for the young and elderly	To establish a health and wellbeing officer group (by 30 June 2017) which will: • Conduct a workforce health and wellbeing gap analysis • Health and well-being strategy with agreed targets reported and approved by the committee • Implement the 2017/18 targets in our Health and Wellbeing Strategy	Rod Brown Head of Housing & Environmental Services (C&WC)	30 August 2017 31 January 2018 31 March 2018	**April to Sept:** A health and wellbeing officer group has been established and an initial meeting was held on 06/06/17. Gap analysis underway and it's likely to be completed later this year. **Oct to Dec:** Draft Health and Wellbeing Position Statement and Action Plan completed and subject to consultation by Health Liaison Panel prior to Report to Community and Wellbeing in January 2018. **Jan to March:**	A

Supporting our community – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Promoting healthy and active lifestyles, especially for the young and elderly	To adapt the Wellbeing Centre to accommodate a high-needs day care facility for eight clients	Ian Dyer Head of Operational Services (C&WC)	31 March 2018	**April to Sept:** The works are scheduled to start on the 4 September subject to planning permission for a period of five weeks. The current clients that use the Wellbeing Centre have all been informed of the changes and the new model. We have secured a room with Roseberry housing so that we can commence the new model from the 4 September until the building works are completed. Surrey County Council Adult Social Care team are aware of the new model. Promotion of the new higher needs day care took place at the Golden day's festival on the 9 July.	G
				Oct to Dec: The works were delayed until the 16 October. The works are in two phases the first phase was the conversion of the old kitchen into the foot clinic due to issue beyond our control there were considerable delays and the works for the Wellbeing Centre commenced mid-November. The Wellbeing centre works should be completed by end of December therefore the opening date will be in January 2018.	
				Jan to March:	

Supporting our community – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Encouraging and supporting volunteering initiatives	Support at least three community/volunteer clean up campaigns	Ian Dyer Head of Operational Service (EC)	31 March 2018	**April to Sept:** Supply of litter picking packs to WERRA For two community events. Litter picking arranged and kits supplied to Councillor Wormington and Town Ward Residents Association.	A
				Oct to Dec: In conversations with residents in West Ewell to carry out Spring Clean Up operations.	
				Jan to March:	
	Introduce a programme for raising awareness of volunteering initiatives in Epsom & Ewell	Gillian McTaggart Head of Corporate Governance (EC)	31 March 2018	**April to Sept:** Work has not commenced on this project however, a project scope will be drafted and a project working group established in October.	R
				Oct to Dec: This project is on hold until 2018/19.	
				Jan to March:	

MANAGING RESOURCES

WE WILL DO THIS BY:

Developing multi-skilled & motivated staff

Providing services digital

Identifying new sources of revenue and maximising our existing income

Delivering further efficiency savings and cost reductions

Maximising returns from properties and other investments

KEY OUTCOMES

An Organisational Development Strategy which drives culture change, build capacity and delivers a skilled workforce for the future

A new improved website enabling services to be delivered digitally

Asset Management Plan for major assets

Balanced budget each year

KEY SUCCESS MEASURES

Core values embedded into our performance management framework

Increase digital accessibility of our services

Return generated from property and other investments

Agreed savings delivered

Managing our resources – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Developing multi-skilled and motivated staff	Present proposals for a revised pay structure to HR Panel and S&R Committee	Shona Mason Head of HR & OD (S&R)	31 October 2017	**April to Sept:** Revised pay structured developed and presented to Leadership Team, Chair of HR Panel and Chair of S&R with consultation with staff commenced in July. **Oct to Dec:** Revised pay structure presented to S&R on 28 Nov 2017 and agreed to be implemented for 1 April 2018. **Jan to March:**	G
	Present proposals for a revised appraisal scheme to the Leadership Team and HR Panel	Shona Mason Head of HR & OD (S&R)	31 December 2017	**April to Sept:** Draft scheme was developed and presented to Leadership Team **Oct to Dec:** Draft scheme consulted on with feedback received ready to be implemented in April 2018. **Jan to March:**	G
	Hold three Managers Huddle's to support the development of all EEBC managers	Shona Mason Head of HR & OD (S&R)	31 March 2018	**April to Sept:** So far we've held one Managers Huddle in June 2017 covering the following topics - Developing the Managers Network, Our EEBC Manager, Service Delivery Plans & Performance Management. **Oct to Dec:** Further Managers Huddle held in Nov 2017 covering the following topics - Managers Network Update, DISC Profiling (it's a personal assessment tool for Dominance, Influence, Steadiness and Conscientiousness), Finance & Budget Exercise, Developing Our EEBC Employee and Personal Development themes and Social Media. **Jan to March:**	G

Managing our resources – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Developing multi-skilled and motivated staff	To consult with staff on a range of initiatives including management competencies, revised HR policies including the Attendance Management and Capability, and the appraisal process	Shona Mason Head of HR & OD (S&R)	31 March 2018	**April to Sept:** Collated and review of feedback from staff on Attendance Management Policy and Capability policy with a view to rolling out new policies in Autumn. Finalised "Our EEBC Manager" behaviours and competencies via the Manager Huddle that took place in June.	G
				Oct to Dec: Consultation taken place on the new appraisal process "My Performance Conversation" and feedback received. Focus group held on Employee behaviours with feedback currently being considered.	
				Jan to March:	

Managing our resources – Key priority

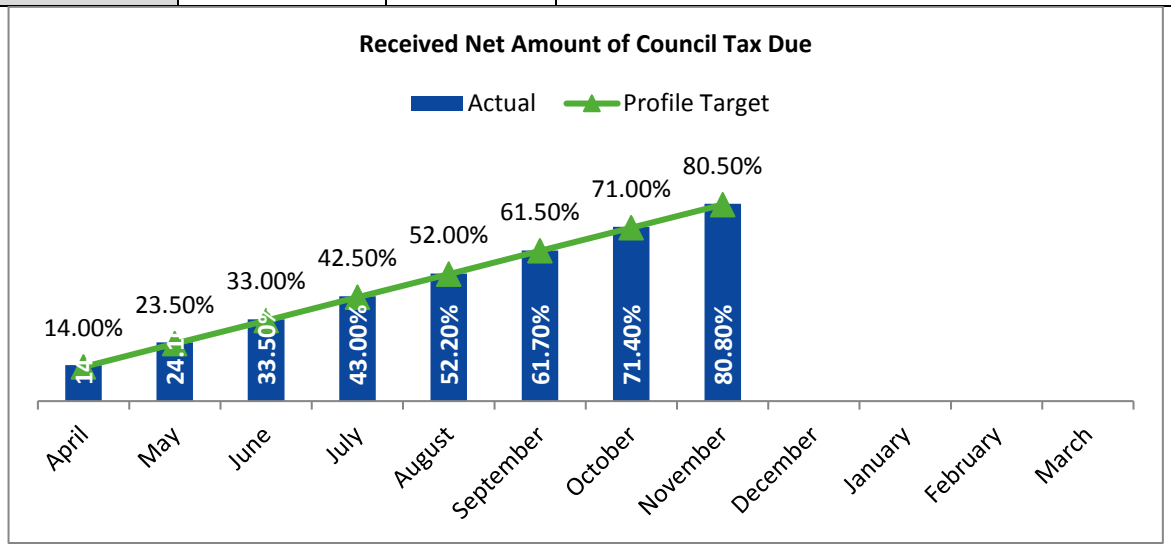
Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Providing services digitally	Complete phase 2 of the website	Judith Doney Head of Revenues & Benefits Andrew Lunt Head of Venues & Facilities (S&R)	31 December 2017	**April to Sept:** Venues currently on target. Plan Alpha have supplied templates, relevant domain addresses have been purchased, 360 degree filming of the Playhouse and Ewell court house has been carried out. Websites content is now being drafted. Revenues & Benefits self-service currently on target. Module has been updated to newest version and initial work done by Capita consultant. Setup now to be completed by Revenues & Benefits project team.	A
				Oct to Dec: Venues Websites went live on the 19th December. Revenues and Benefits self service module has been set to live and the final work to brand the self-service site and amend documents is being completed. User Acceptance Testing (UAT) on live site currently being undertaken with the intention of making available to residents in January 2018.	
				Jan to March:	
	Develop the Customer Experience Strategy and report to S&R	Joy Stevens Head of Customer Services & Business Support (S&R)	31 March 2018	**April to Sept:** Some work has been done on the Customer Experience Strategy but this is linked to progressing the replacement options for the CRM which has been submitted as a capital bid.	G
				Oct to Dec: Work progressing on writing of the strategy to go to Committee.	
				Jan to March:	

Managing our resources – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Providing services digitally	Introduce new pay machines with contactless payment facilities as part of a refurbishment programme in: • Depot Road car park • Upper High Street car park	Joy Stevens Head of Customer Services & Business Support (EC)	31 March 2018	**April to Sept:** A procurement tender has been completed and contract awarded to Metric. Machines being customer designed and due for installation in Q3. **Oct to Dec:** Lining & signing completed. Pay machines installed and live. Target Achieved. **Jan to March:**	G
	100% of all housing clients to complete applications digitally	Rod Brown Head of Housing & Environmental Services (S&R)	31 March 2018	**April to Sept:** Year to date 100% of housing clients applications have been submitted digitally. **Oct to Dec:** Year to date 100% of housing clients applications have been submitted digitally. **Jan to March:**	G

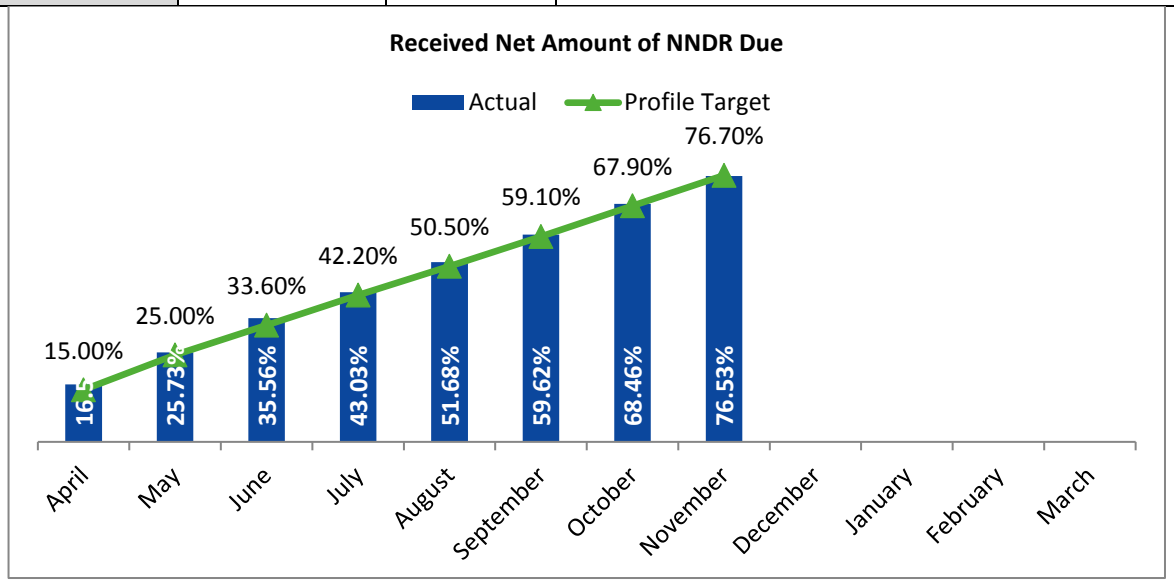
Managing our resources – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Identifying new sources of revenue and maximising our existing income	At least 98.4% of Council Tax collected	Judith Doney Head of Revenues & Benefits (S&R)	31 March 2018	**April to Sept:** The cumulative target as at July is 42.50%. We've collected 43.00%. This compares to 42.80% in July 2016/17. We are expecting to achieve this target by year end.	G
				Oct to Dec: As at November we have collected 80.80% Council Tax. This is above the profile target 80.50%.	
				Jan to March:	



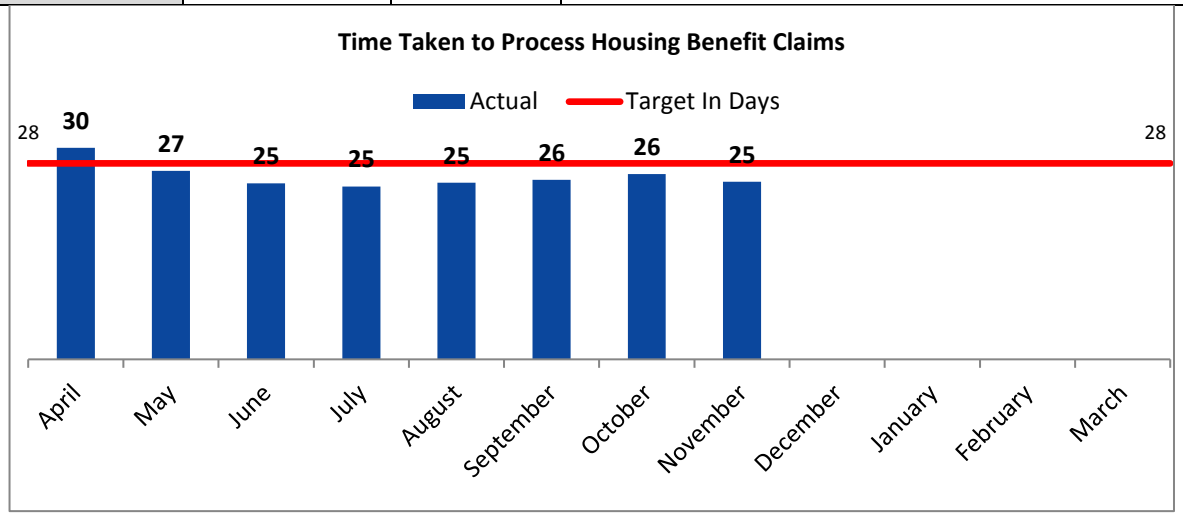
Managing our resources – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Identifying new sources of revenue and maximising our existing income	At least 99.0% of Business Rates to be collected	Judith Doney Head of Revenues & Benefits (S&R)	31 March 2018	**April to Sept:** The cumulative target as at July is 42.20%. We've collected 43.03%. This compares to 42.35% in July 2016/17. We are expecting to achieve this target by year end. **Oct to Dec**: As at November we have collected 76.53% of Business Rates. We slightly missed this target. **Jan to March:**	A



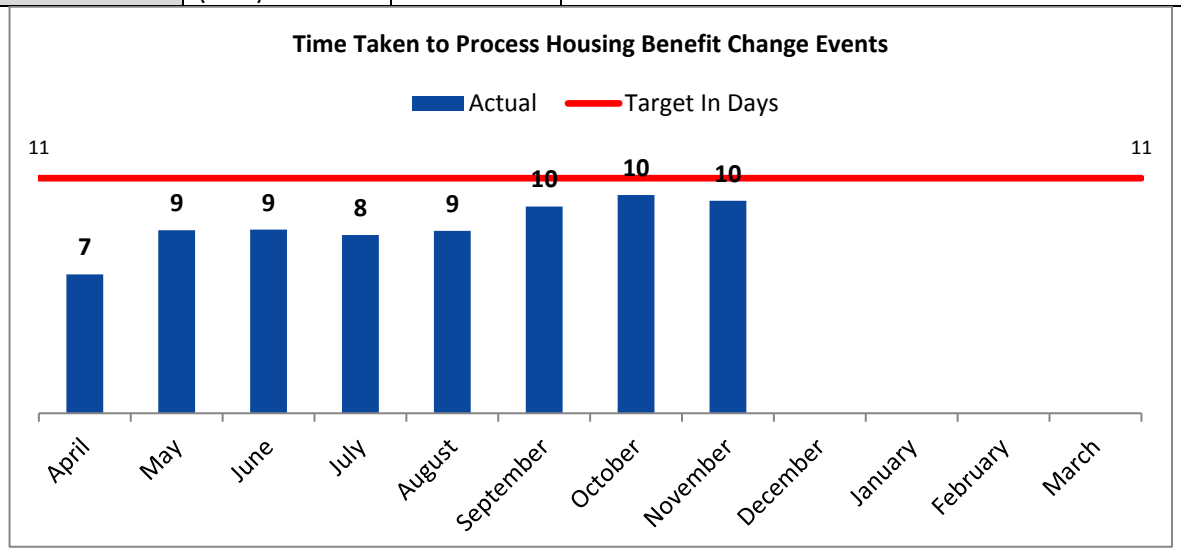
Managing our resources – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Identifying new sources of revenue and maximising our existing income	Process new Housing Benefit claims within an average time of 28 days	Judith Doney Head of Revenues & Benefits (S&R)	31 March 2018	**April to Sept:** Apart from April and May, we've been processing new Housing Benefits claims within an average time of 25 days therefore meeting the target set. When compared to July 2016/17 we were processing claims with an average time of 38 days. **Oct to Dec:** As at November new Housing Benefits claims were processed within 25 days. **Jan to March:**	G



Managing our resources – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Identifying new sources of revenue and maximising our existing income	Process Housing Benefit change of circumstances within an average time 11 days	Judith Doney Head of Revenues & Benefits (S&R)	31 March 2018	**April to Sept**: Target met. **Oct to Dec:** As at November Housing Benefit change of circumstances were processed within 10 days. **Jan to March:**	G



Managing our resources – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Identifying new sources of revenue and maximising our existing income	Increase the catering income from Bourne Hall café and Playhouse bar by an additional £50,000 net	Andrew Lunt Head of Venues & Facilities (S&R)	31 March 2018	**April to Sept:** The current income position for the named venues stands at £255,304 net (to the end of July). Although this figure is a little over half of the required amount, due to the seasonal nature of the venues business it is projected that we will achieve target.	G
				Oct to Dec: The current gross income from the bar and catering operations at Bourne hall and the Playhouse is £72,444. Target achieved.	
				Jan to March:	
	Secure a combined lettings income from Bourne Hall, Community & Wellbeing Centre, Playhouse and Ewell Court of £462,000	Andrew Lunt Head of Venues & Facilities (S&R)	31 March 2018	**April to Sept:** The current income position for Bourne Hall, Community & Wellbeing Centre, Playhouse and Ewell Court venues stands at £255,304 net (to the end of July).	G
				Oct to Dec: This target has been achieved. It is anticipated that the projections for the Pantomime will once again break all previous records for the theatre. The current income for these venues stands at £475,275	
				Jan to March:	

Managing our resources – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Identifying new sources of revenue and maximising our existing income	Generate £8,000 income from pest control referral service	Rod Brown Head of Housing & Environmental Services (S&R)	31 March 2018	**April to Sept:** Year to date, we've generated £5,900. **Oct to Dec:** Year to date, we've generated £9,800. **Jan to March:**	G
	Epsom Cemetery extension: • Conduct ecological and ground water risk assessment • Submit the planning application	Rod Brown Head of Housing & Environmental Services (S&R)	31 July 2017 31 December 2017	**April to Sept:** Ground Water Risk Assessment was received in August and although subject to Environment Agency approval looks promising. Other assessments are needed and being pursued. Obtaining results of all extensive pre- application assessments may delay submission of planning application. **Oct to Dec:** Discussions to acquire land progressing. Emerging complexity of pre-planning assessment will require an external agent to prepare and submit the planning application. Consequently tender brief being prepared. **Jan to March:**	R
	To produce a proposal in regards to income generation plan to accompany the Medium Term Financial Strategy	Lee Duffy Head of Financial Services (S&R)	20 February 2018	**April to Sept:** A proposal by an independent consultant for producing a four year generation plan with clear deliverables towards a savings targets of £500,000 has been agreed and will be funded by a grant from the LGA. A start date for works to commence will be agreed shortly. **Oct to Dec:** The independent consultant held workshops with EEBC managers in October, to collate income generation ideas. The consultant subsequently undertook to write a report presenting conclusions and recommendations. A draft plan was issued in December. This report will inform the Council's income generation plan. **Jan to March:**	G

Managing our resources – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Delivering further efficiency savings and cost reductions	E-Tendering system implemented	Gillian McTaggart Head of Corporate Governance (S&R)	31 October 2017	**April to Sept:** The Contract & Procurement Officer has been in post for six months and the system is now fully operational and has been used to run a number of procurement exercises. A Contract Register has been compiled of all current contracts and this will be uploaded onto the system. Training/awareness sessions will be held to ensure that managers are aware of the new procurement system and their responsibilities.	G
				Oct to Dec: The e-tendering system is now being fully utilised and supported by the Contracts & Procurement Officer. Information on how to do business with the Council has been updated and is available on the website with the Council's Contract Register.	
				Jan to March:	
	Submit a capital bid and, identify a replacement system for the CRM which meets our business needs, is affordable and sustainable	Joy Stevens Head of Customer Services & Business Support (S&R)	30 September 2017	**April to Sept:** A capital bid has been submitted and was reviewed by the Capital Member Group.	G
				Oct to Dec: Capital bid is progressing through the process. Identification for replacement was reprioritised in September and put on hold until arrival of Chief Operating Officer.	
				Jan to March:	

Managing our resources – Key priority					
Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Delivering further efficiency savings and cost reductions	Playhouse: • Complete a service review and submit report to Audit, Crime and Disorder and Scrutiny Committee (23 November 2017) and Community Wellbeing and Committee (23 January 2018)	Andrew Lunt Head of Venues & Facilities (C&WC)	23 November 2017 23 January 2018	**April to Sept:** The playhouse service review is currently on target. The consultation has been concluded and the results are being analysed The working group will commence drafting their final report in mid-September 2017.	G
				Oct to Dec: Report of the review working party has been discussed by the Audit, Crime, Disorder and Scrutiny Committee and will be sent to the 23rd January meeting of the Community and Wellbeing Committee.	
				Jan to March:	

Managing our resources – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Maximising returns from properties and other investments	To support economic regeneration utilise the Commercial Property Acquisition Fund to purchase a minimum two additional commercial investment properties generating no less than 5% return on investment	Mark Shephard Head of Property & Regeneration (S&R)	31 March 2018	**April to Sept:** No suitable investment properties were available to purchase in the Borough that met the Council's stringent Property Investment Strategy criteria. **Oct to Dec**: Currently in negotiation to acquire an investment property located within the Borough. **Jan to March:**	A
	To produce a proposal in regards to an Asset Management Strategy and Ten year maintenance plan	Mark Shephard Head of Property & Regeneration (S&R)	31 March 2018	**April to Sept:** The Asset Management Strategy remains under review and a report is anticipated to be brought to S&R during the next quarter. **Oct to Dec:** The Asset Management Strategy has been delayed to accommodate a review of property assets. A report is anticipated to be brought to S&R by the second quarter of 2018. **Jan to March:**	R
	Review options for establishing a local authority trading company through a Member / Officer Working Group and report to S&R	Mark Shephard Head of Property & Regeneration Simon Young Head of Legal & Democratic Services (S&R)	31 December 2017	**April to Sept:** The Working Group has reviewed options and a report is being brought to S&R / Extraordinary Council on 19 September 2017. **Oct to Dec:** The establishment of the Epsom & Ewell Property Company (EEPIC) was agreed by Council on the 19th September 2017 and it has been set up for the purchase of acquiring commercial property. **Jan to March:**	G

Supporting Businesses and our Local Economy

We will do this by:

Supporting a comprehensive retail, commercial and social offer

Maintaining strong links with local business leaders and representative organisations

Supporting developers to bring forward the development of town centre sites

Delivering an affordable Economic Strategy

Promoting our Borough as an excellent place to do business

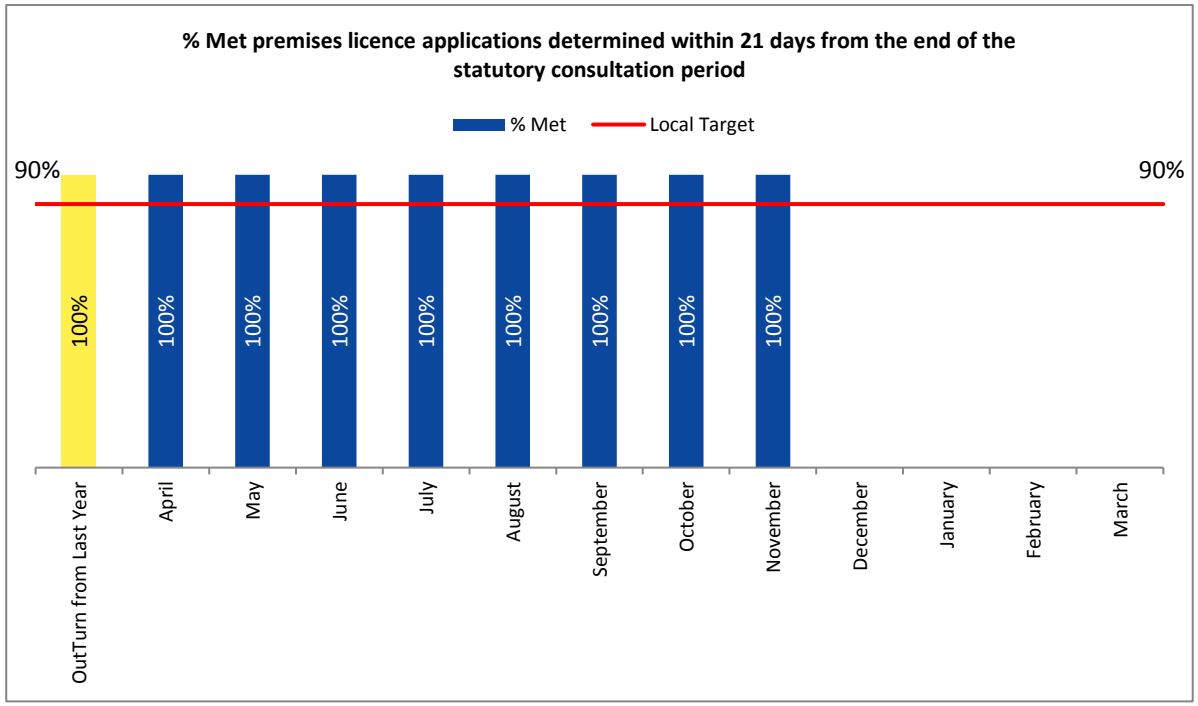
KEY OUTCOMES	KEY SUCCESS MEASURES
High quality/innovative building design	Businesses attending the Business Leaders' meetings
Improved transport infrastructure	Delivery of Plan E to improve traffic flow into Epsom Town Centre
Visual appearance of the town/ shopping centres enhanced	Delivery of the Economic Development Strategy Action Plan
	Space for start-up/incubator businesses to grow and expand

Supporting businesses and our local economy – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Supporting a comprehensive retail, commercial and social offer	Support the Business Partnership to develop a proposal for a Business Improvement District (BID) with the intention of holding a Ballot	Mark Berry Head of Place Development (S&R)	31 October 2017	**April to Sept:** This target has slipped slightly. BID ballot to take place during November 2017. Note: Since the S&R Report has been published this target has slipped further to December.	G
				Oct to Dec: Ballot held in December, target achieved.	
				Jan to March:	
	To agree and implement a scheme for the allocation of the neighbourhood portion of Community Infrastructure Levy (CIL) (15%)	Mark Berry Head of Place Development (S&R)	31 August 2017	**April to Sept:** During July 2017 Members of Epsom & Ewell's Joint Infrastructure Group (comprised of Borough Members and County Joint Committee Members) received a report setting out how CIL monies could be allocated to neighbourhood level schemes. Members confirmed the proposed new Civic Investment Fund (CIF) style scheme and agreed that a further report on the introduction of a Local Projects scheme go before S&R Committee during November 2017.	R
				Oct to Dec: Report deferred until January Strategy & Resources Committee	
				Jan to March:	

Supporting businesses and our local economy – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Supporting a comprehensive retail, commercial and social offer	At least 90% of premises licence application determined within 21 days from the end of the statutory consultation period	Rod Brown Head of Housing & Environmental Services (L&PPC)		**April to July:** As at July, we received 36 premises licence applications and all were determined within 21 day.	G
				Oct to Dec: As at November, we received 66 premises licence applications and all were determined within 21 days.	
				Jan to March:	



Supporting businesses and our local economy – Key priority					
Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Supporting a comprehensive retail, commercial and social offer	Ten percent reduction of 0-2 food hygiene rated food businesses	Rod Brown Head of Housing & Environmental Services (EC)	31 March 2018	**April to Sept:** Presently a 19 percent decrease - net figure of 11 premises have been moved from 0-2 following reassessment having received a previous inspection.	G
				Oct to Dec: Currently a net reduction of 24 poorly rated premises resulting in a 41 percent reduction. A project to address persistently poor businesses is underway.	
				Jan to March:	

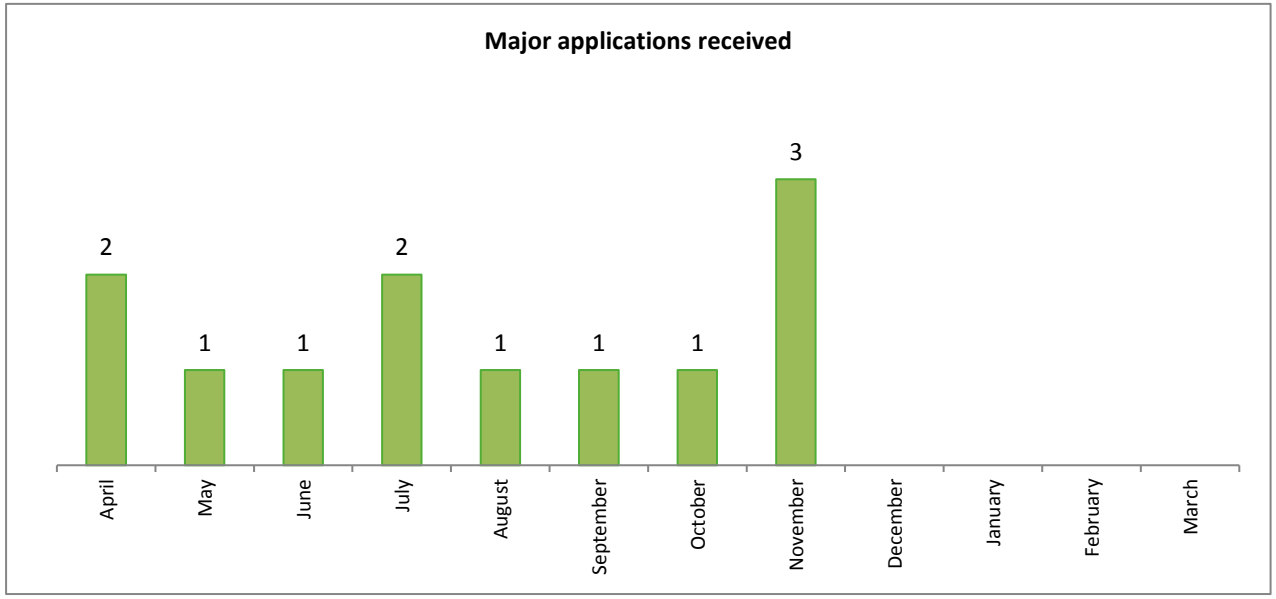
Supporting businesses and our local economy – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Supporting a comprehensive retail, commercial and social offer	Completion of three storey Houses in Multiple Occupation (HMO) inspection due within the year	Rod Brown Head of Housing & Environmental Services (C&WC)	31 March 2018	**April to Sept:** Three inspections complete from eight scheduled. It is anticipated that this target will be achieved by year end.	G
				Oct to Dec: All inspections complete which were due, various requirements mean that actual licences have yet to be issued but anticipate they will be before end of year.	
				Jan to March:	
	To complete the refurbishment of 24 South Street, including one retail unit	Rod Brown Head of Housing & Environmental Services Mark Shephard Head of Property & Regeneration (C&WC)	31 March 2018	**April to Sept**: Planning application has been submitted and due to go to next available planning committee for decision. It is anticipated that work will commence on site from December 2017.	A
				Oct to Dec: Amended planning application following discussions with planners. Planning application due to go to January 2018 committee.	
				Jan to March:	

Supporting businesses and our local economy – Key priority					
Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Maintaining strong links with local business leaders and representative organisations	To hold at least three business breakfasts	Mark Berry Head of Place Development (S&R)	31 March 2018	**April to Sept:** On course. One held on 24 May 2017. Another planned for the autumn although date not yet fixed.	G
				Oct to Dec: One held on 7 November 2017. Another planned for the spring although date not yet fixed.	
				Jan to March:	

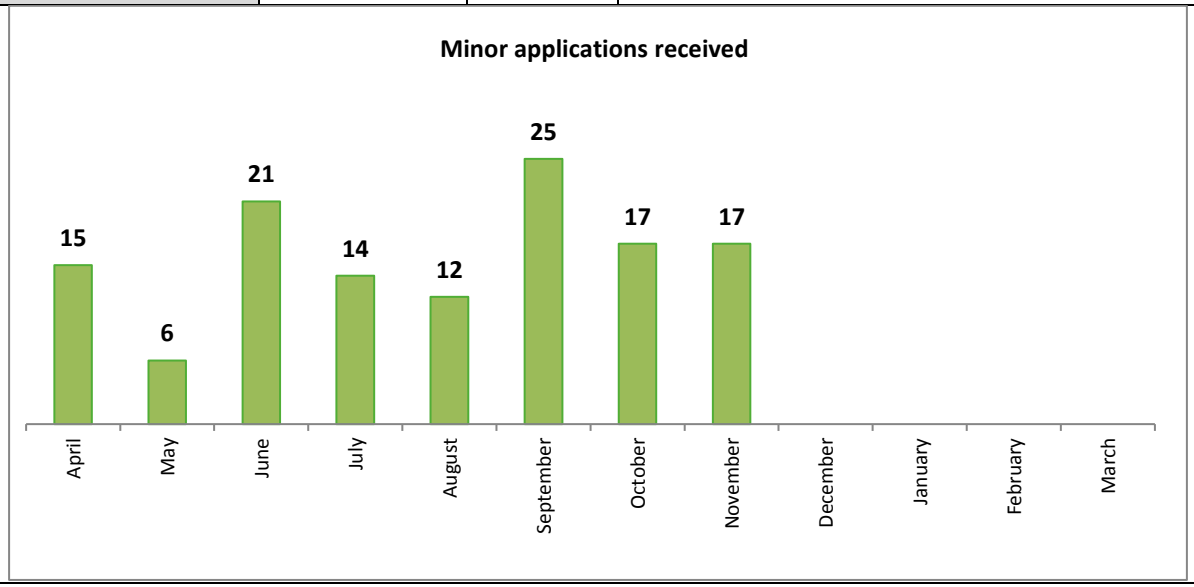
Supporting businesses and our local economy – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Supporting developers to bring forward the development of town centre sites	Number of major planning applications received	Mark Berry Head of Place Development (L&PPC)	31 March 2018	**April to July:** As at July, we have received six major planning applications	N/A (information only indicator)
				Oct to Dec: As at November, we have received 12 major planning applications.	
				Jan to March:	



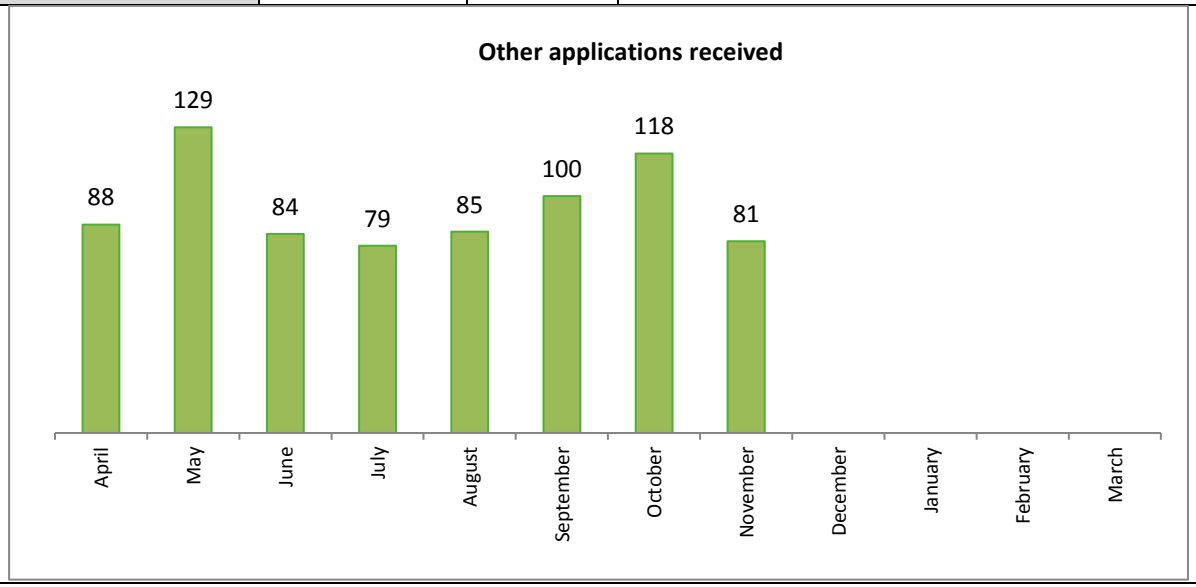
Supporting businesses and our local economy – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Supporting developers to bring forward the development of town centre sites	Number of minor applications received	Mark Berry Head of Place Development (L&PPC)	31 March 2018	**April to July:** As at July, we have received 56 minor applications. **Oct to Dec:** As at November, we have received 127 minor applications. **Jan to March:**	N/A (information only indicator)



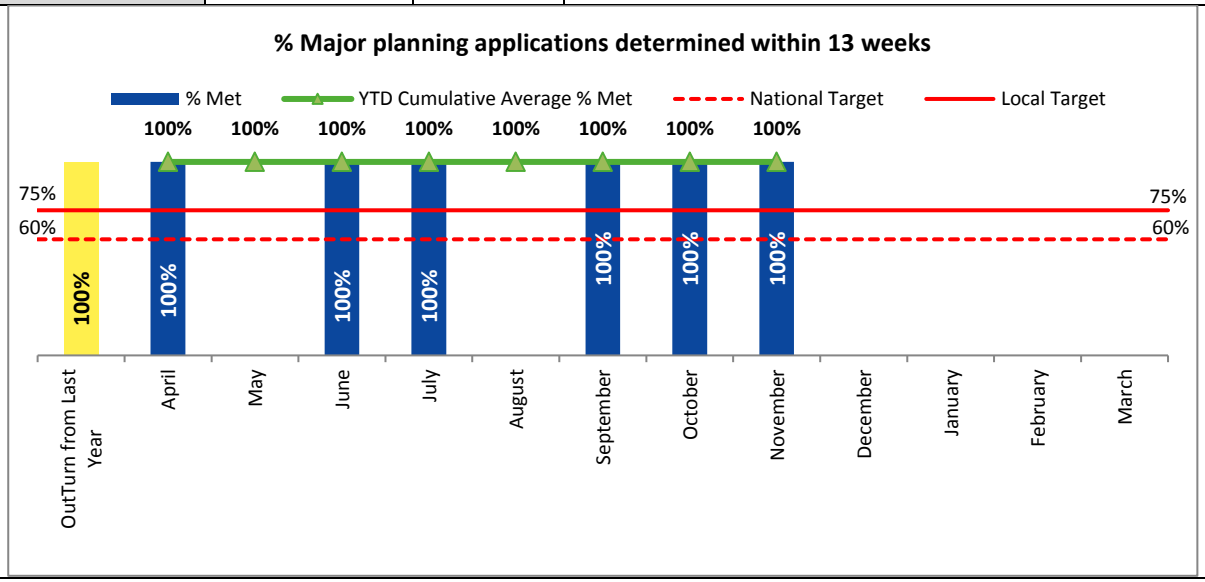
Supporting businesses and our local economy – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Supporting developers to bring forward the development of town centre sites	Number of other planning applications received	Mark Berry Head of Place Development (L&PPC)	31 March 2018	**April to July:** As at July, we have received 380 other planning applications. **Oct to Dec:** As at November, we have received 764 other planning applications. **Jan to March:**	N/A (information only indicator)



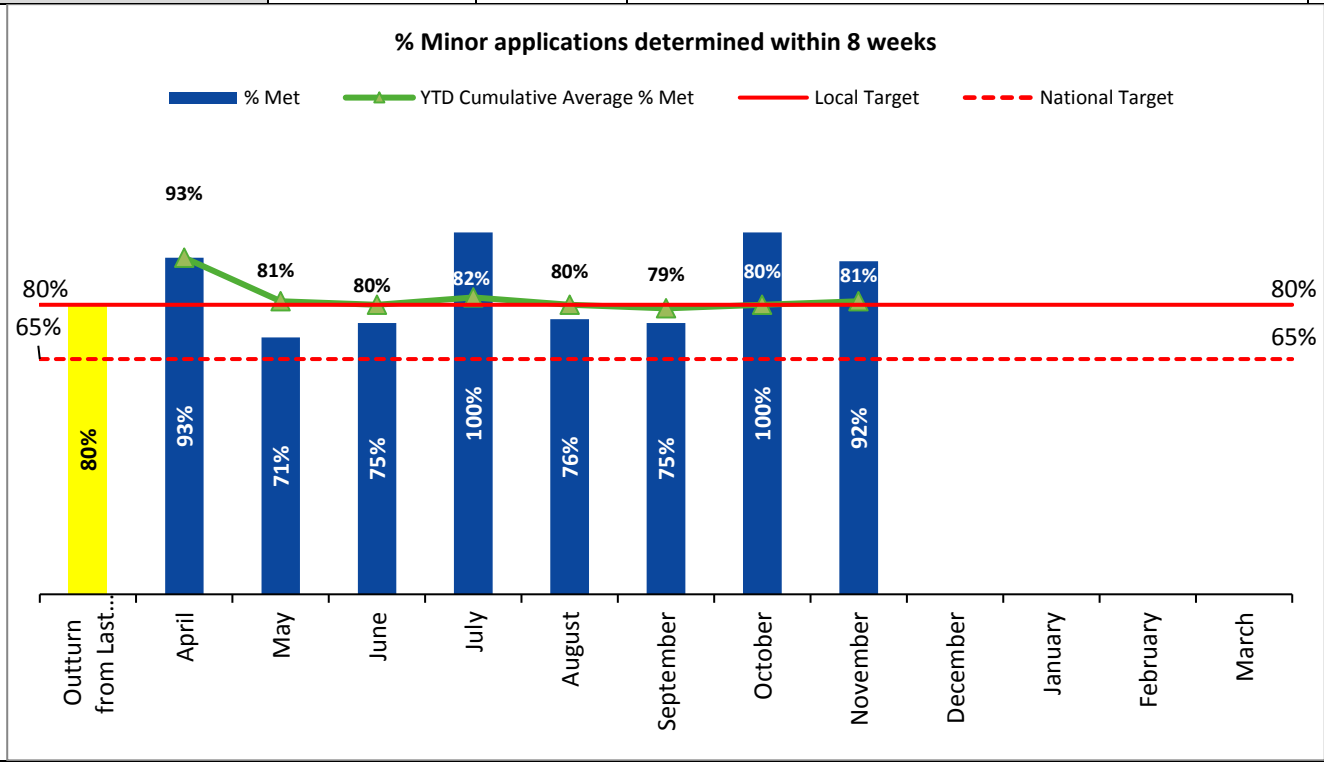
Supporting businesses and our local economy – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Supporting developers to bring forward the development of town centre sites	At least 75% of major planning applications determined within 13 weeks or in accordance with a Planning Performance Agreement or agreed extension of time.	Mark Berry Head of Place Development (L&PPC)	31 March 2018	**April to July:** As at July, 100% of major applications have been determined within 13 weeks. There were no applications determined in May.	G
				Oct to Dec: As at November, 100% of major applications have been determined within 13 weeks.	
				Jan to March:	



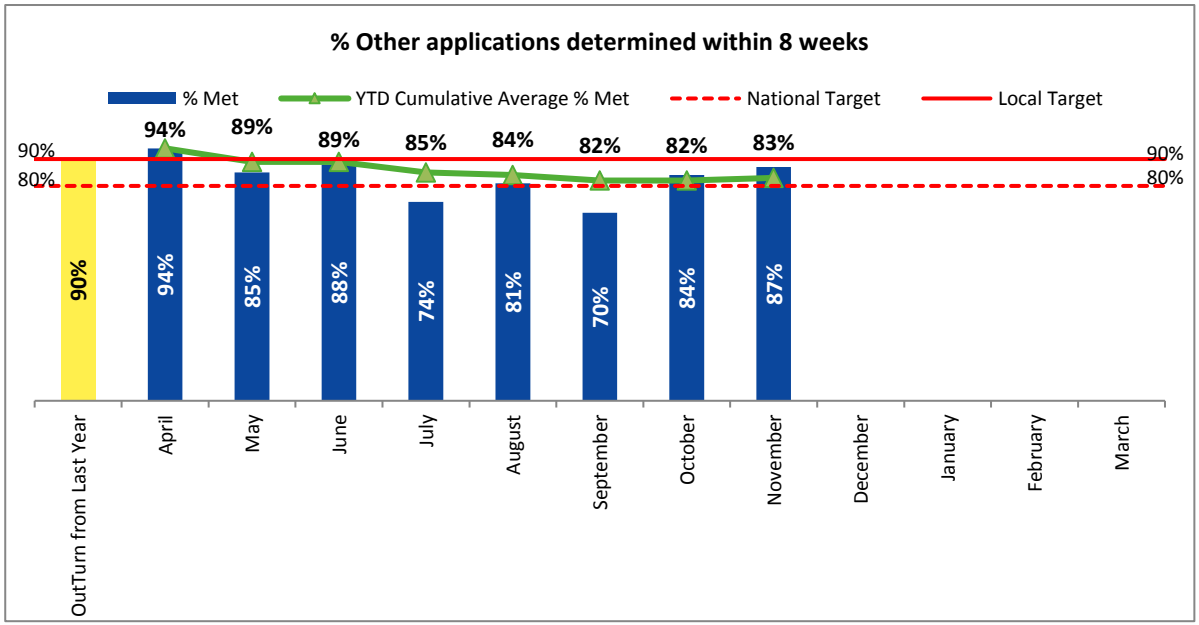
Supporting businesses and our local economy – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Supporting developers to bring forward the development of town centre sites	At least 80% of minor applications determined within 8 weeks	Mark Berry Head of Place Development (L&PPC)	31 March 2018	**April to July:** As at July on average, 82% of minor applications were determined within 8 weeks, 100% were determined for the month of July.	G
				Oct to Dec: As at November on average, 81% of minor applications were determined within 8 weeks, 92% were determined for the month of November.	
				Jan to March:	



Supporting businesses and our local economy – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Supporting developers to bring forward the development of town centre sites	At least 90% of other planning applications determined within 8 weeks	Mark Berry Head of Place Development (L&PPC)	31 March 2018	**April to July:** Overall the year to date average is 85%. We slightly missed this target by 5%. It's worth noting that except for July, we are exceeding the national target for other planning applications.	A
				Oct to Dec: Overall, the year to date average is 83%. We slightly missed this target by 7%, however we are exceeding the national target for other planning applications.	
				Jan to March:	



Supporting businesses and our local economy – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Supporting developers to bring forward the development of town centre sites	No more than ten per cent of major planning applications allowed at appeal (using the two-year rolling assessment period defined by the government)	Mark Berry Head of Place Development (L&PPC)	31 March 2018	**April to July:** At present 14% of planning applications have been allowed at appeal**.** We are slightly over by 4%. Year to date one major and one minor or other have been allowed at appeal. A peer review is being conducted in September to map out how we can meet this target.	R
				Oct to Dec: We can do nothing to redeem the performance that is past and it will take until January 2019 to shake-off the three decisions made in October 2016 that were overturned at appeal. However, we are doing a lot to try and avoid a recurrence of this performance. A Planning Improvement Action Plan was adopted by the Planning Committee and licensing and Planning Policy Committee in November and December respectively and is in the process of being implemented.	
				Jan to March:	

Supporting businesses and our local economy – Key priority					
Delivering an affordable Economic Development Strategy	Plan E (Phase 1): • Finalise and agree the design for the Market Place improvements in partnership with Surrey County Council (SCC)	Mark Berry Head of Place Development (S&R)	31 October 2017	**April to Sept:** Material and design for Market Place improvements agreed between Borough and County Council. Detailed construction design in-hand. Work on implementation due to commence during 2018.	R
				Oct to Dec: Work commenced on project in October with regular bulletins now being produced by SCC and posted on their web-page. Final design of Market Place not yet agreed with inputs required on trees, Wetherspoons frontage and sculpture position. Drop-in sessions with Members being held.	
				Jan to March:	
	Complete a review of the benefits/disadvantages of establishing a Joint Local Committee and report to S&R	Simon Young Head of Legal & Democratic Services (S&R)	31 March 2018	**April to Sept:** Not yet started however, it is anticipated that this target will be achieved by year end.	R
				Oct to Dec: This will be deferred until 2018/19 once the new Chief Legal Officer is in post.	
				Jan to March:	

Supporting businesses and our local economy – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Promoting our Borough as an excellent place to do business	Develop the business case for a business hub and report to S&R	Mark Berry Head of Place Development Mark Shephard Head of Property & Regeneration (S&R)	28 November 2017	**April to Sept:** A business case is being prepared for submission to the Local Enterprise Partnership (LEP) to establish the availability of funding for the acquisition of an Epsom office building. **Oct to Dec:** The owner of the building supporting the business case above has withdrawn from the transaction. Discussions are ongoing with an alternative building owner in the heart of Epsom. **Jan to March:**	R
	Conduct a review of the groups that we contribute to in relation to promoting Epsom and Ewell as a place to do business and evaluate the benefits and effectiveness from participating in these arrangements	Mark Berry Head of Place Development (S&R)	31 December 2017	**April to Sept:** Review commenced. To be reported in the autumn to the relevant Chairman. **Oct to Dec:** This review has been completed and the results will be shared with Members in January 2018. **Jan to March:**	G

Supporting businesses and our local economy – Key priority

Key priority objective. We will do this by…	Key priority performance target for 2017/18	Responsible officer	Achieved by:	Latest progress:	Status:
Promoting our Borough as an excellent place to do business	To carry out a corporate review of all marketing and promotions to agree an overall strategy	Gillian McTaggart Head of Corporate Governance (S&R)	31 October 2017	**April to Sept:** A scope for the corporate marketing review has been drafted and a project group will meet at the beginning of September reporting to the Leadership Team at the end of October.	R
				Oct to Dec: Further work on developing a corporate marketing strategy has been deferred until the Income Generation Plan has been produced, in order that there can be link between areas identified to generate additional income and marketing.	
				Jan to March:	
	To produce and up to date marketing strategy and action plan for: • Ewell Court House • Bourne Hall	Andrew Lunt Head of Venues & Facilities (C&WC)	31 December 2017	**April to Sept:** Work has commenced, - previous strategies are being analysed to determine their strengths/weaknesses and to inform the structure of the new strategy. Market characteristics and buyer behaviour are also being investigated to determine which promotional/advertising channels would be most effective	A
				Oct to Dec: The production of a marketing strategy has been temporarily delayed to enable limited resources to be redirected to development of the venues websites and the operation of increasingly busy buildings.	
				Jan to March:	

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Corporate Plan: Key Priority Performance Targets for 2017 to 2018 – Phase Two

Keeping our borough clean and green

Providing quality parks, nature reserves and other public spaces that are safe, pleasant, and well maintained:

- Maintain external accreditation to recognise the quality of: **(C&WC))** ***(Target Achieved)***
  - Alexandra Recreation Ground 31 March
  - Ewell Court Park 31 March
  - Rosebery Park 31 March
- Produce an Operational Management Plan for**: (C&WC)**
  - Rosebery Park; Ewell Court 31 March
- Local Biodiversity Action Plan (LBAP):
  - Undertake the scoping exercise for a Borough-wide veteran tree survey 31 October 2017
  - Complete inspections and compile the data on veteran trees for two wards by 31 March
- Complete refurbishment of: **(C&WC)**
  - Rosebery Park pond 31 March
  - Tennis courts in Alexandra Recreation Ground 30 Sept ***(Target Achieved)***
  - Basketball courts in Alexandra Recreation Ground 30 Sept ***(Target Achieved)***

Accommodating sustainable development whilst protecting the green belt in accordance with Policy: (L&PPC)

- Complete issues and options consultation on the partial review of the Core Strategy by 30 September ***(Target Achieved)***
- Issue the pre-submission consultation for the Partial Review of the Core Strategy by 31 March

Introducing a premium weekly waste and recycling service as standard for all residents and encouraging more household waste to be recycled: (EC)

- Implement the new simply weekly recycling service to all residents by 30 July 2017
- Recycle 53% domestic waste by 31 March
- Promote household recycling by holding:
  - 20 road shows, and 3 school events 31 March
- Over the year at least 99% of bins to be collected on average each week 31 March

Keeping the streets and open spaces clean and tidy: (EC)

- Twice yearly street cleansing survey based on a random selection of 113 areas achieving a cleanliness rating of Grade B or above in 65% of all selected streets
  - Phase 1 (Apr to Aug) to be reported in September
  - Phase 2 (Sept to Mar) to be reported at year-end
- Fly tips:
  - Investigate all fly-tips within five working days of being reported to Operational Services
  - Remove 95% of all fly-tips on Council owned land (with the exception of hazardous waste) within five working days of being reported to Operational Services 31 March

Taking action to reduce graffiti, littering, flyposting, illegal advertising and dog fouling: (EC)

- To identify options for future enforcement action and report to Committee 31 March

Supporting our community

Supporting and enabling the delivery of affordable homes: (C&WC)

- Secure two additional residential properties to be used as temporary emergency accommodation and ensure occupation within one month of completion or after works completed 31 March

Helping those at risk of homelessness: (C&WC)

- At least 15 households accommodated through the private sector leasing scheme by 31 March
- Have no more than 50 households living in emergency nightly paid temporary accommodation per month 31 March

Promoting healthy and active lifestyles, especially for the young and elderly: (C&WC)

- Leisure development strategy: ***(Target Achieved)***
  - Deliver Epsom & Ewell entry into the Surrey Youth Games 31 July 2017
- Community & Wellbeing Centre:
  - To obtain approval for a programme of refurbishment work at the Community & Wellbeing Centre and carry out the works by 31 March
  - Increase membership by a further 55 by 31 March
  - Promote increased use by under 55s by holding at least three taster sessions/activities 31 March
- Implement new FlexiRoute system by 28 February 2018
- To establish a health and wellbeing officer group by 30 June 2017 which will:
  - Conduct a workforce health and wellbeing gap analysis by 30 August 2017
  - Health and well-being strategy with agreed targets reported and approved by the committee 31 January 2018
  - Implement the 2017/18 targets in our Health and Wellbeing Strategy by 31 March
- To adapt the Wellbeing Centre to accommodate a high-needs day care facility for eight clients 31 March

Encouraging and supporting volunteering initiatives: (EC)

- Support at least three community/volunteer clean up campaigns by 31 March
- Introduce a programme for raising awareness of volunteering initiatives in Epsom & Ewell by 31 March

Managing our resources

Developing multi-skilled and motivated staff: (S&R)

- Present proposals for a revised pay structure to HR Panel and S&R Committee by 31 October 17 ***(Target Achieved)***
- Present proposals for a revised appraisal scheme to the Leadership Team and HR Panel by 31 December 17 ***(Target Achieved)***
- Hold three Managers Huddle's to support the development of all EEBC managers by 31 March
- To consult with staff on a range of initiatives including management competencies, revised HR policies including the Attendance Management and Capability, and the appraisal process by 31 March

Providing services digitally:

- Complete phase 2 of the website by 31 December 2017 **(S&R)**
- Develop the Customer Experience Strategy and report to S&R by 31 March
- Introduce new pay machines with contactless payment facilities as part of a refurbishment programme in: **(EC)** 31 March ***(Target Achieved)***
  - Depot Road car park; Upper High Street car park
- 100% of all housing clients to complete applications digitally by 31 March **(S&R)**

Identifying new sources of revenue and maximising our existing income:

- At least 98.4% of Council Tax collected **(S&R)**
- At least 99.0% of Business Rates to be collected **(S&R)**
- Process new Housing Benefit claims within an average time of 28 days (31 March) **(S&R)**
- Process Housing Benefit change of circumstances within an average time 11 days (31 March) **(S&R)**
- Increase the catering income from Bourne Hall café and Playhouse bar by an additional £50,000 net (31 March) **(S&R)** ***(Target Achieved)***
- Secure a combined lettings income from Bourne Hall, Community & Wellbeing Centre, Playhouse and Ewell Court of £462,000 by 31 March **(S&R)** ***(Target Achieved)***
- Generate £8,000 income from pest control referral service by 31 March **(S&R)** ***(Target Achieved)***
- Epsom Cemetery extension: **(S&R)**
  - Conduct ecological and ground water risk assessment by 31 July 2017
  - Submit the planning application by 31 December 2017
- To produce a proposal in regards to income generation plan to accompany the Medium Term Financial Strategy by 20 February 2018 **(S&R)**

Delivering further efficiency savings and cost reductions: (S&R)

- E-Tendering system implemented by 31 Oct 2017 ***(Target Achieved)***
- Submit a capital bid and, identify a replacement system for the CRM which meets our business needs, is affordable and sustainable 30 September 2017
- Playhouse: **(C&WC)**
  - Complete a service review and submit report to Audit, Crime and Disorder and Scrutiny Committee by 23 November 2017 and Community and Wellbeing Committee by 23 January 2018

Maximising returns from properties and other investments: (S&R)

- To support economic regeneration utilise the Commercial Property Acquisition Fund to purchase a minimum two additional commercial investment properties generating no less than 5% return on investment by 31 March 2018
- To produce a proposal in regards to an Asset Management Strategy and Ten year maintenance plan 31 March 2018

Supporting businesses and our local economy

Supporting a comprehensive retail, commercial and social offer:

- Support the Business Partnership to develop a proposal for a Business Improvement District (BID) with the intention of holding a Ballot in Oct 2017 **(S&R)** ***(Target Achieved)***
- To agree and implement a scheme for the allocation of the neighbourhood portion of Community Infrastructure Levy (CIL) (15%) by 31 Aug 2017 **(S&R)**
- At least 90% of premises licence application determined within 21 days from the end of the statutory consultation period **(L&PPC)** 31 March
- Ten percent reduction of 0-2 food hygiene rated food businesses **(EC)** 31 March ***(Target Achieved)***
- Completion of three storey Houses in Multiple Occupation (HMO) inspection due within the year **(C&WC)** 31 March
- To complete the refurbishment of 24 South Street, including one retail unit by 31 March **(C&WC)**

Maintaining strong links with local business leaders and representative organisations: **(S&R)**

- To hold at least three business breakfasts by 31 March

Supporting developers to bring forward the development of town centre sites: (L&PPC)

- Number of major planning applications received*
- Number of minor planning applications received*
- Number of other planning applications received*
- At least 75% of major planning applications determined within 13 weeks
- At least 80% of minor planning applications determined within 8 weeks
- At least 90% of other planning applications determined within 8 weeks
- No more than ten per cent of major planning applications allowed at appeal (using the two-year rolling assessment period defined by the government)

(* Note: Information only indicator)

Delivering an affordable Economic Development Strategy: (S&R)

- Plan E (Phase 1):
  - Finalise and agree the design for the Market Place improvements in partnership with Surrey County Council (SCC) by 31 October 2017
- Complete a review of the benefits/disadvantages of establishing a Joint Local Committee and report to S&R by 31 March

Promoting our Borough as an excellent place to do business:

- Develop the business case for a business hub and report to S&R by 28 November 2017
- Conduct a review of the groups that we contribute to in relation to promoting Epsom and Ewell as a place to do business and evaluate the benefits and effectiveness

		• Review options for establishing a local authority trading company through a Member / Officer Working Group and report to S&R by 31 December 2017 ***(Target Achieved)***	from participating in these arrangements by 31 December 2017
			• To carry out a corporate review of all marketing and promotions to agree an overall strategy by 31 October **(S&R)**
			• To produce and up to date marketing strategy and action plan for **(C&WC)**:
			  ○ Ewell Court House 31 December 2017
			  ○ Bourne Hall 31 December 2017

Key: **Achieved or on target**; **Slightly off target not a major concern or slippage**; **Off target / unlikely to be achieved for projected year or not achieved**; **Information only indicator*/No Data**

WORK PROGRAMME 2017/18

Report of the:	Chief Legal Officer
Contact:	Margaret Jones
Urgent Decision?(yes/no)	No
If yes, reason urgent decision required:	
Annexes/Appendices (attached):	**Annexe 1** – Work Programme 2017/18
Other available papers (not attached):	Reports and Minutes of the meetings of the Audit, Crime & Disorder and Scrutiny Committee 9 February, 20 June, 23 November 2017.

Report Summary

This report updates the Committee on its work programme 2017/18.

Recommendation (s)

(1) That the Committee notes the current position of its work programme 2017/18 attached at Annexe 1.

1 Implications for the Council's Key Priorities, Service Plans and Sustainable Community Strategy

1.1 Implications vary across the different items agreed for inclusion in the work programme. Specific implications are considered by the Committee before undertaking any individual investigation.

2 Background

2.1 Paragraph 1 of the Overview and Scrutiny Procedure Rules requires the Committee to approve an annual overview and scrutiny work programme including the programme of any sub-committees or panels.

2.2 The Committee agreed its 2017/18 work programme in June 2017. **Annexe 1** shows the current position of the Committee's work programme. Three changes have been made since the last meeting of the Committee. The following three reports have been postponed:

2.2.1 Report reviewing CCTV (Compliance with the Surveillance Camera Code of Practice) (was scheduled for February 2018).

2.2.2 Annual Report on the Regulation of Investigatory Powers Act 2000 (was scheduled for February 2018).

2.2.3 Report reviewing the overview and scrutiny provisions of the Constitution (was scheduled for April 2018).

2.3 The Annual report on the Regulation of Investigatory Powers Act 2000 has been pushed back to the next meeting of the Committee scheduled for April 2018.

2.4 It has not been possible to re-schedule the remaining two reports as yet. Officers will, however, re-schedule the reports and update the Committee as soon as possible. In the meantime both reports remain on the Committee's work programme 2017/18 under 'Items to be Scheduled'.

3 Proposals

3.1 It is proposed that the Committee notes the current position of its 2017/18 work programme attached at **Annexe 1**.

4 Financial and Manpower Implications

4.1 The Committee's work programme has workload implications for both its members and the Scrutiny Officer. In depth scrutiny reviews undertaken by task groups require more intensive input from members as well as the Scrutiny Officer for specific time periods.

4.2 ***Chief Finance Officer's comments:*** Any financial considerations arising in relation to items included in the work programme will be set out as appropriate in the individual reports prepared for consideration by the Committee.

5 Legal Implications (including implications for matters relating to equality)

5.1 The work programme attached at **Annexe 1** has been designed to meet the Committee's responsibilities set out in legislation and its terms of reference.

5.2 ***Monitoring Officer's comments:*** There are no legal issues arising from this report.

6 Sustainability Policy and Community Safety Implications

6.1 Scrutiny of the Community Safety Partnership is a responsibility of the Audit, Crime & Disorder and Scrutiny Committee.

7 Partnerships

7.1 The Committee has the ability to make reports or recommendations on matters which affect the authority's area or the inhabitants of that area.

8 Risk Assessment

8.1 Maintenance of an annual work programme helps ensure the Committee meets its responsibilities both statutory and local. It enables the Committee to manage its workload across the year, identifying priorities and rescheduling work according to risk/need.

9 Conclusion and Recommendations

9.1 Under its Terms of Reference the Audit, Crime & Disorder and Scrutiny Committee is responsible for setting its own work programme. The Committee approved its work programme 2017/18 in June 2017.

9.2 It is recommended that the Committee notes the latest version of its work programme which encapsulates changes made to date.

Ward(s) Affected: (All Wards);

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Audit, Crime & Disorder and Scrutiny Committee Work Programme 2017/18

MEETING DATE	ITEMS FOR CONSIDERATION BY FULL COMMITTEE	ITEMS FOR CONSIDERATION BY APPOINTED TASK GROUP(S)
20 June 2017	• Internal Audit Monitoring Report 2016/17 • Internal Audit Assurance Report 2016/17 • Annual Governance Statement 2016/17 • External Audit • Performance Management • Community Safety Partnership 2016/17 – End of Year Report • Use of Delegated Powers - Annual Report • Work Programme 2017/18	• Service Review of Venues Epsom Playhouse (Completed November 2017) Ewell Court House (TBC)
23 Nov 2017	• Internal Audit Monitoring Report 2017/18 • Annual Governance Statement and District Auditor's Audit Findings – Progress Against Action Plans • Risk Management Framework Annual Report • Performance Management • Review of Epsom Playhouse • Work Programme 2017/18	
8 Feb 2018	• Internal Audit Monitoring Report 2017/18 • Progress on the Implementation of Internal Audit Recommendations • Performance Management • Review of the arrangements for publicising and determining planning applications • Work Programme 2017/18	**ITEMS TO BE RE-SCHEDULED** • Review of CCTV (Compliance with Surveillance Camera Code of Practice) • Review of Constitution: Overview and Scrutiny Provisions
19 April 2018	• Internal Audit Strategy 2018/19 • Internal Audit Monitoring Report 2017/18 • External Audit • Performance Management • Review of Ewell Court House (TBC) • Regulation of Investigatory Powers Act 2000 - Annual Report • Routecall: Review of rebranded service (Transport from Home) • Scrutiny of the Community Safety Partnership • Audit, Crime & Disorder and Scrutiny Committee Annual Report 2017/18	

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