

# Public Document Pack

Democratic Services



## AUDIT AND SCRUTINY COMMITTEE

Thursday 26 September 2024 at 7.30 pm

Place: Council Chamber, Epsom Town Hall

Online access to this meeting is available on YouTube: [Link to online broadcast](#)

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

|                                     |                            |
|-------------------------------------|----------------------------|
| Councillor Steven McCormick (Chair) | Councillor Jan Mason       |
| Councillor Phil Neale (Vice-Chair)  | Councillor Alex Coley      |
| Councillor Chris Ames               | Councillor Graham Jones    |
| Councillor Rob Geleit               | Councillor Alan Williamson |
| Councillor James Lawrence           |                            |

Yours sincerely

Chief Executive

For further information, please contact [democraticservices@epsom-ewell.gov.uk](mailto:democraticservices@epsom-ewell.gov.uk) or tel: 01372 732000

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- You should proceed calmly; do not run and do not use the lifts;
- Do not stop to collect personal belongings;
- Once you are outside, please do not wait immediately next to the building, but move to the assembly point at Dullshot Green and await further instructions; and
- Do not re-enter the building until told that it is safe to do so.

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A link to the online address for this meeting is provided on the first page of this agenda. A limited number of seats will be available on a first-come first-served basis in the public gallery at the Town Hall. If you wish to observe the meeting from the public gallery, please arrive at the Town Hall reception before the start of the meeting. A member of staff will show you to the seating area. For further information please contact Democratic Services, email: [democraticservices@epsom-ewell.gov.uk](mailto:democraticservices@epsom-ewell.gov.uk), telephone: 01372 732000.

Information about the terms of reference and membership of this Committee are available on the [Council's website](#). The website also provides copies of agendas, reports and minutes.

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## Exclusion of the Press and the Public

There are no matters scheduled to be discussed at this meeting that would appear to disclose confidential or exempt information under the provisions Schedule 12A of the Local Government Act 1972 (as amended). Should any such matters arise during the course of discussion of the below items or should the Chair agree to discuss any other such matters on the grounds of urgency, the Committee may wish to resolve to exclude the press and public by virtue of the private nature of the business to be transacted.

## Questions and statements from the Public

Up to 30 minutes will be set aside for questions and statements from members of the public at meetings of this Committee. Any member of the public who lives, works, attends an educational establishment or owns or leases land in the Borough may ask a question or make a statement on matters within the Terms of Reference of the Committee.

All questions must consist of one question only and cannot consist of multiple parts. Questions and statements cannot relate to planning or licensing committees matters, the personal affairs of an individual, or a matter which is exempt from disclosure or confidential under the Local Government Act 1972. Questions which in the view of the Chair are defamatory, offensive, vexatious or frivolous will not be accepted. Each question or statement will be limited to 3 minutes in length.

If you wish to ask a question or make a statement at a meeting of this Committee, please contact Democratic Services at: [democraticservices@epsom-ewell.gov.uk](mailto:democraticservices@epsom-ewell.gov.uk)

Questions must be received in writing by Democratic Services by noon on the third working day before the day of the meeting. For this meeting this is **Noon, Monday 23<sup>rd</sup> of September**.

A written copy of statements must be received by Democratic Services by noon on the working day before the day of the meeting. For this meeting this is **Noon, Wednesday 25<sup>th</sup> of September**.

For more information on public speaking protocol at Committees, please see [Annex 4.2](#) of the Epsom & Ewell Borough Council Operating Framework.

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## **AGENDA**

### **1. QUESTIONS AND STATEMENTS FROM THE PUBLIC**

To take any questions or statements from members of the Public.

### **2. DECLARATIONS OF INTEREST**

To receive declarations of any Disclosable Pecuniary Interests or other registrable or non-registrable interests from Members in respect of any item to be considered at the meeting.

### **3. MINUTES OF THE PREVIOUS MEETING (Pages 5 - 16)**

The Committee is asked to confirm as a true record the Public and Restricted Minutes of the Meeting of the Committee held on the 25 July 2024 (attached) and to authorise the Chair to sign them.

### **4. REVENUE BUDGET MONITORING - QUARTER 1 (Pages 17 - 26)**

This report presents the forecast revenue outturn position for the current financial year 2024/25, as at Quarter 1 (30 June).

### **5. CAPITAL BUDGET MONITORING - QUARTER 1 (Pages 27 - 40)**

This report presents the capital monitoring position at Quarter 1 for the current financial year 2024/25.

### **6. PERFORMANCE AND RISK REPORT - SEPTEMBER 2024 (Pages 41 - 98)**

The appendix to this report provides an overview of the council's performance with respect to its 2024-25 annual plan objectives, key performance indicators, corporate risks, committee risks, and annual governance statement actions.

**7. IPCO INSPECTION 2024** (Pages 99 - 104)

This report provides the Committee with the outcome of the Investigatory Powers Commissioner's Office (IPCO) latest inspection. The Council was due its usual three-yearly inspection by IPCO, regarding its compliance with the Regulation of Investigatory Powers Act 2000 (RIPA) and the Investigatory Powers Act 2016. The Council was last inspected in January 2021.

Following the receipt of the Council's responses to the inspection information request, the Investigatory Powers Commissioner are satisfied that the Council's reply provides assurance that ongoing compliance with RIPA 2000 and the Investigatory Powers Act 2016 will be maintained. As such, the Council did not require further inspection this year.

The Commissioner highlighted three minor areas where the Council can enhance its RIPA Policy. Officers will update the RIPA Policy as per the Commissioner's recommendations, which will then be brought to the Committee as part of the annual RIPA report in March 2025.

**8. LGO AND ICO UPDATES** (Pages 105 - 108)

This report contains information on recent council complaint decisions from the Local Government and Social Care Ombudsman (LGSCO) and the Information Commissioner's Office (ICO).

**9. OMBUDSMAN ANNUAL REPORT 2023-24** (Pages 109 - 116)

This report provides the annual review of complaints received and decisions made by the Local Government and Social Care Ombudsman during 2023-24.

**10. WORK PROGRAMME - SEPTEMBER 2024** (Pages 117 - 120)

This report presents the Committee with its annual Work Programme.

**11. EXCLUSION OF THE PRESS AND PUBLIC** (Pages 121 - 122)

Under Section 100(A)(4) of the Local Government Act 1972, the Committee may pass a resolution to exclude the public from the Meeting for Part Two of the Agenda on the grounds that the business involves the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A to the Act (as amended) and that pursuant to paragraph 10 of Part 2 of the said Schedule 12A the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

**12. INTERNAL AUDIT: PROGRESS REPORT - SEPTEMBER 2024** (Pages 123 - 144)

This report summarises progress against the Internal Audit Plan 2024-2025.

**Minutes of the Meeting of the AUDIT AND SCRUTINY COMMITTEE held at the Council Chamber, Epsom Town Hall on 25 July 2024**

**PRESENT -**

Councillor Steven McCormick (Chair); Councillor Phil Neale (Vice-Chair); Councillors Chris Ames, Alex Coley, Alison Kelly (as nominated substitute for Councillor James Lawrence), Jan Mason, Kim Spickett (as nominated substitute for Councillor Graham Jones) and Alan Williamson

In Attendance: Natalie Jerams (Deputy Head of Partnership) (Southern Internal Audit Partnership (Internal Auditor)) (for minutes items 7 to 13 ONLY), Matt Dean (Partner at the Council's External Auditor) (Grant Thornton) and Lucy Nutley (Audit Manager) (Grant Thornton)

Absent: Councillor Graham Jones and Councillor James Lawrence

Officers present: Andrew Bircher (Interim Director of Corporate Services), Brendan Bradley (Chief Finance Officer), Piero Ionta (Head of Legal Services and Monitoring Officer), Alex Awoyomi (Principal Solicitor), Will Mace (Business Assurance Manager) and Phoebe Batchelor (Democratic Services Officer)

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**1 QUESTIONS AND STATEMENTS FROM THE PUBLIC**

One public question was received and redirected to be submitted to the relevant Committee.

**2 DECLARATIONS OF INTEREST**

Councillor Neale, Kelly, and Coley declared they are Members of the Strategy and Resources Committee.

**3 MINUTES OF THE PREVIOUS MEETING**

The Committee confirmed as a true record the Public and Restricted Minutes of the Meeting of the Committee held on 28 March 2024 and authorised the Chair to sign them.

**4 EXTERNAL AUDIT UPDATE**

The Committee received a report presenting the External Audit Plan for 2023/24.

The following matters were considered:

- a) **Clarification.** The Chair asked the External Auditors to explain what the 'group', referenced within the report, encompasses. The External Auditor explained that the Epsom & Ewell Group is the Borough Council's accounts and EEPIC's accounts. The External Auditor informed the Committee that the EEBC accounts and EEPIC accounts are audited separately, but are both brought within the group accounts, as the Council controls EEPIC.
- b) **Terminology.** A Member of the Committee asked for a definition of materiality and PY. The External Auditor explained that an item is deemed material if its omission or error would affect the view of a reader of the accounts, so if a particular item wasn't there, someone would look at those accounts and form a different view of the Council's financial position. The External Auditor explained that PY stands for Prior Year.
- c) **Section 114.** A Member of the Committee asked for the opinion of the External Auditors on EEBC's accounts and whether they believe the Council could be at risk over the next 3-5 years of section 114 territory. The External Auditor responded to inform the Committee that Grant Thornton felt that at the end of 2023 the financial sustainability position of the Council was green, which would put the Council in a relatively strong position. The External Auditor made clear to the Committee that no one can predict the future, in regard to the central government and the economy, but EEBC are in a positive position, but should always remain cautious.
- d) **Lease register.** A Member of the Committee asked if the Council would ever be expected to look at how its leaseholders perform against the conditions or whether that would be separate to an audit report. The External Auditor responded to explain that is not something they would look at or comment on and if there were concerns the Council could get Internal Auditors to look into it.
- e) **Progress against prior year audit recommendations.** The Chair asked why there is an assessment of TBC and why it has not been completed. The External Auditor responded to explain that they will only be able to form a detailed view on that item when it comes to the year-end account, then they will be able to form an assessment.
- f) **IFRS 16.** A Member of the Committee raised that they had submitted questions via email that they would like answered and circulated to Committee Members. The Member asked if EEBC and EEPIC are now maintaining a register which includes immaterial leases, in compliance with IFRS 16, effective from April 1<sup>st</sup>, 2024. The Chief Finance Officer confirmed to the Committee that IFRS 16 must be implemented this financial year, and the information will be presented in the 2024/25 statement of accounts which will be published at the end of the current financial year. The Chief Finance Officer informed the Committee that the Finance Team have been preparing, having completed a data collection exercise with budget holders to determine what assets the Council leases

that are affected by IFRS 16 and expect to be fully ready to produce the statement of accounts and present the information required.

- g) **Risk of homelessness.** A Member of the Committee asked if the Council are recording a risk for our homelessness in the Private Sector Leasing scheme relating to IFRS 16. The Chief Finance Officer responded to explain that IFRS 16 is an accounting change, not an operational change, meaning there is no impact on how these properties are operated.
- h) **Right of Use Assets.** A Member of the Committee asked how EEBC and EEPIC are incorporating IFRS 16 requirements into the valuation of Right of Use assets. The Chief Finance Officer responded to confirm that the Council will fully implement IFRS 16 and incorporate right of use assets onto the balance sheet in the 2024/25 statement of accounts. The Chief Finance Officer confirmed that the Council already maintains a lease register.
- i) **Key decisions.** A Member of the Committee asked what key decisions still need to be made regarding the Council's accounting policy for IFRS 16. The Chief Finance Officer informed the Committee that IFRS 16 is an accounting change, it won't affect the Council's revenue budget at all, so there are no key operational decisions to be made related to IFRS 16, other than for the Council's accountants to implement IFRS 16's requirements into the 2024/25 Statement of Accounts.
- j) **Legal implications.** A Member of the Committee asked how the legal implications of committee reports are identified and managed. The Chief Finance Officer informed the Committee that all reports are reviewed by Legal, and not all decisions have material legal implications, and where there aren't any, that will be reflected in the no significant legal implications arising from the contents of this report comment.
- k) **Surrey Treasurers Group.** A Member of the Committee asked who EEBC send to the Surrey Treasurers group and if EEBC attend all meetings and arrange substitutes when the nominated officer is unable to attend. The Chief Finance Officer confirmed that they personally attend the Surrey Treasurers Group meetings, and the Chief Accountant would attend in their absence.
- l) **Training.** A Member of the Committee raised a query about training for substitutes for Audit and Scrutiny Committee. The Chair noted the comments and informed the Committee that training for A&S Members and nominated substitutes will be followed up on.

Following consideration, the Committee unanimously resolved to:

- (1) **Receive the External Audit Plan for 2023/24;**
- (2) **Consider and approve the management responses to Grant Thornton's enquiries, as set out in Appendix 2.**

**5 PERFORMANCE AND RISK REPORT - JULY 2024**

The Committee received a report providing an update of the Council's performance, containing:

The end of year corporate performance report, with respect to the 2023-2024 Annual Plan objectives, key performance indicators, corporate risks and annual governance statement actions (**Appendix 1**); and

A progress report on the Four-Year Plan, which highlights key achievements between April 2020 and March 2024 (**Appendix 2**).

The following matters were considered:

- a) **Icon Key.** A Member asked if the icons used on page 102 and 103 of the full report pack could be explained and a key included for reference. The Business Assurance Manager responded to explain the icons are a RAG status and confirmed that an icon key will be present in future iterations of the report.
- b) **Waste sent for recycling.** A Member of the Committee asked what the status is for the waste sent for recycling annual metric. The Business Assurance Manager directed the Committee to page 108 of the full report pack and explained that there isn't usually a big change from the previous three quarters, as shown in the graph. The Business Assurance Manager informed the Committee that the September Committee Report will include the Q4 data.
- c) **Private Rented Housing.** A Member of the Committee asked what proactive private rented housing inspections involve and how properties are identified. The Business Assurance Manager informed the Member that the query would be referred to the relevant Head of Service and an answer provided.
- d) **Car Park Revenue.** A Member of the Committee queried the Car Park Revenue being below the revenue target in a Strategy & Resources Committee report but meeting the revenue target in the Audit & Scrutiny Committee report. The Chief Finance Officer explained that the KPI compares the current years income with the previous year's income, so the 2023/24 income is an improvement on the 2022/23 income, however it is still behind the budgeted target, which is what was set out in Strategy & Resources Committee report.
- e) **Town Hall Site.** A Member of the Committee asked for an update on the status of the Town Hall Site proposal options. The Business Assurance Manager informed the Member that they would take this update request to the relevant Head of Service.
- f) **RAG ratings.** The Chair asked the Committee if they would like to see a change in how the information in Appendix 1 is presented and invited



Members to provide feedback after the meeting. A Member asked why the approach to some risks, where the number is higher, is tolerate rather than treat. The Business Assurance Manager explained to the Committee that some high risks can be tolerated because there is little further action the Council can take to further mitigate them, whereas the approach with treat, is that there are still mitigating actions that the Council are working on to bring the risk down.

- g) **Carbon Emissions.** A Member of the Committee raised that the report references fleet emissions, but not building emissions, when carbon reduction in buildings is the number one source of emissions in the Council's climate change action plan.
- h) **Wells Road.** A Member of the Committee asked if there were any way residents could find out further information or updates on the Wells Road Bridge. The Chair told Members that if there are areas, they wish to see more commentary on, then they can be raised at the meeting and that will be actioned. The Interim Director of Corporate Services informed the Committee that the Wells Road Bridge risk had been discussed at a meeting with policy chairs where it was decided that due to the improvements in the road, this risk could now be removed.
- i) **Complaints.** A Member of the Committee asked who the Council's accountable person for complaints is. The Interim Director of Corporate Services informed the Committee that he is the Head of Service for Customer Services, and the Council also has a complaints officer, who is part of the Customer Service Team, and a complaints manager. The Member raised that they understood that the accountable person for complaints must be a Councillor. The Interim Director of Corporate Services noted the comment and agreed to look into this matter further.

Following consideration, the Committee unanimously resolved to:

- (1) Note and comment on the corporate performance report (Appendix 1), including those targets which have not been achieved, and**
- (2) Note and comment on the Four-Year Plan progress report (Appendix 2).**

## 6 PRODUCTIVITY PLAN

The Committee received a report accompanying the council's first 'Productivity Plan', publication of which is a new requirement introduced by Government as part of their review of productivity across all public services and Local Government.

Following consideration, the Committee unanimously resolved to:

- (1) Endorse the appended Productivity Plan for submission to Government.**

## 7 USE OF DELEGATED POWERS ANNUAL REPORT

In accordance with the Council's Scheme of Delegation to officers, the Committee received a report setting out urgent decisions taken by officers in consultation with committee Chairs for the period 31 May 2023 to 3 June 2024.

The following matters were considered:

- a) **Government Notice.** A Member of the Committee asked how much notice Central Government normally give us for consultation responses, as most consultation responses are delegated decisions. The Chair acknowledged that often there was not adequate time for consultation responses to come to the relevant Committee Meetings and explained that although ad hoc Committee meetings can be scheduled, often the reports are only for Members to note. The Chair continued to explain that all delegated decisions are published on MemberNews, and consultation responses are in the public domain and can be accessed online.
- b) **Decision 118 and 119.** A Member of the Committee asked why decision 118 took two months to be authorised and then was subsequently closed alongside decision 119. The Business Assurance Manager informed the Committee that they would seek clarification on these urgent decisions and report back to Members.
- c) **Decision 132.** A Member of the Committee asked why this decision was not brought to the Environment Committee Meeting when it was raised 4 days prior and authorised the day following the Meeting. The Chair raised that it could have been due to a report not being able to be prepared in time. The Interim Director of Corporate Services responded to state that the comments have been noted and this was a decision that should have been taken to and agreed at the Environment Committee Meeting.
- d) **Delegated Decisions.** A Member of the Committee asked how they can view the delegated decisions. The Chair informed the Committee that all decisions are published on MemberNews.

Following consideration, the Committee unanimously resolved to:

- (1) **Note the urgent decisions taken by officers, in consultation with relevant committee Chairs, recorded using urgent decision forms from 31 May 2023 to 3 June 2024.**

## 8 ANNUAL GOVERNANCE STATEMENT 2023-2024

The Committee received a report seeking the Committee's approval of the draft Annual Governance Statement 2023-2024.

The Annual Governance Statement (AGS) is an important document which provides assurance concerning the Council's governance arrangements, both financial and non-financial. It is prepared on an annual basis for inclusion in the Statement of Accounts.

The following matters were considered:

- a) **Standing Orders.** A Member of the Committee asked if one of the referenced changes to the Council's Constitution is the introduction of new standing orders, setting out the disciplinary process against statutory officers. The Monitoring Officer confirmed to the Committee that is one of the items, alongside several others that were approved by the Standards and Constitution Committee on the 4<sup>th</sup> of June.
- b) **Constitutional Changes Process.** A Member of the Committee asked what the process is for finding areas in the Constitution that need updating. The Business Assurance Manager informed the Committee that there is an annual review of the Constitution and a three-line defence model with Service Managers, Performance and Risk Management, and Internal Auditors. The Monitoring Officer explained to the Committee that although there is a process, a lot of constitutional updates are also down to individuals spotting issues and keeping up to date with central government changes and consulting other statutory officers. The Member commended the work that has been so far to make updates to the Constitution and raised that they would like to see a formal process enacted, whereby there is a clear list that is checked to ensure we are compliant and up to date in all areas.
- c) **Language.** A Member of the Committee asked why some of the language used in the statement is more hypothetical than definite. The Business Assurance Manager noted the comment and confirmed that the language could be tightened to signal the intent that those actions will be taken. The Business Assurance Manager informed the Committee that this will be addressed before the AGS goes to Full Council. The Chair invited the Member to email officers the areas where the wording needs amending.
- d) **Continuous Improvement.** A Member of the Committee suggested that the Council use LG Inform instead of Oflog data explorer in order to have more up-to-date data. The Business Assurance Manager informed the Committee that data presented in the report is captured internally and tagged as an Oflog KPI to flag this to officers.
- e) **Strategic Asset Management Plan.** A Member of the Committee raised that the Council should have something that it looks at as a performance indicator for how the Council are making more careful use of its assets given the cost of maintaining them. The Chair noted the comment.

Following consideration, the Committee unanimously resolved to:

- (1) **Approve the 2023-2024 draft Annual Governance Statement as set out at Appendix 1, prior to it being signed by the Chief Executive and the**

**Chair of the Strategy and Resources Committee and received to note by Full Council.**

- (2) **Nominate and authorise the Chief Finance Officer, in consultation with the Chair and Vice-Chair, to make any required amendments to the Annual Governance Statement prior to its submission with the Statement of Accounts.**

## 9 WORK PROGRAMME

The Committee received a report presenting its annual Work Programme.

The following matters were considered:

- a) **Agenda Items.** The Chair raised that Members can suggest items they would like to come to Committee Meetings, which can then be discussed and considered, before the Committee determine whether or not to incorporate it in the future work plans. The Chair reminded Members to take into account resource factors and the already extensive list of reports coming to future Committee Meetings.
- b) **Resource.** A Member of the Committee asked to distinguish between placing something on the agenda for a forthcoming meeting and having it placed on the Committee Workplan and the different resource implications of those two things so as to ensure that the Committee are not bound by the Workplan and are able to get agenda items added where future Workplan items can be determined and discussed. The Chair noted the comments and reminded the Committee that there must be a reason as to why an item is brought forward, and Members will need to make the decision as to what can be reprioritised.
- c) **Roof Repair.** A Member of the Committee raised that they were expecting to see a report on the Harrier Centre Roof Repair Audit on the agenda for the meeting. The Chair informed the Committee that the Roof Repair Audit item was presented to Strategy and Resources Committee on the 23<sup>rd</sup> of July. The Chair continued to explain that the report was an audit finding and if Members wanted scrutiny as to why and what happened, then that would need to be proposed and discussed. A Member of the Committee raised that they had asked questions on the item at Strategy and Resources Committee and had been told they will receive an email response. The Chair suggested that if the answers provided are not satisfactory then a request can be made, and the item brought back to the Committee to discuss further internal audit or scrutiny on the matter.

Following consideration, the Committee unanimously resolved to:

- (1) **Note and agree the ongoing Work Programme as presented in Section 2.**

**10 LGO AND ICO UPDATES**

The Committee received a report that contained information on recent council complaint decisions from the Local Government and Social Care Ombudsman (LGSCO) and the Information Commissioner's Office (ICO).

The following matters were considered:

- a) **Data Breaches.** A Member of the Committee asked what safeguards have been put in place to make sure data breaches aren't happening in the future. The Interim Director of Corporate Services noted that it is positive that people are recognising that they have done something which is wrong and then reporting it internally and the Council can then consider, these instances create a learning opportunity for the individual concerned. The Interim Director of Corporate Services explained that the Council has a training programme for members of staff and the removal of prepopulating email addresses is also being considered.

Following consideration, the Committee unanimously resolved to:

- (1) Note the report.**

**11 INTERNAL AUDIT - PROGRESS REPORT: JULY 2024**

The Committee received a report summarising progress against the Internal Audit Plan 2023-2024.

The following matters were considered:

- a) **Clarification.** A Member of the Committee asked for clarification as to what the first sentence under Latest Service Update from Action Owner on page 10 of Appendix 1 meant. The Interim Director of Corporate Services explained that garden waste is managed through the Council's CRM system which the Council are looking to stop using in the near future, therefore the Council is prioritising moving garden waste off of the CRM system and onto the My Council Services system.
- b) **Planning Enforcement Notices.** A Member of the Committee asked what the Council are doing to keep the enforcement notice register up to date. The Chair informed the Committee that officers are working to address this and significant improvements have been made. The Chair highlighted that the due date has been revised and officers hope to have addressed this by the end of August 2024. The Internal Auditor informed the Committee that 15 management actions were identified and 9 have been completed, 1 is pending, and 5 are overdue, however more progress could have been made since this report was compiled. The Interim Director of Corporate Services informed the Committee that a lot of action has been taken to improve the services, including recruiting additional resource. The Interim Director of Corporate Services agreed to get an update on this item to feed back to Committee Members. The Chair raised

that a key performance indicator is now provided to the Planning Committee, as reports on enforcement notices to give insight into the number of cases the Council is dealing with.

- c) **Digital Inclusion.** A Member of the Committee raised the issue that not all residents will have computers or be well versed in how to navigate them, so it is not appropriate to only have enforcement notices online. The Chair noted the comments and agreed to take it away as an action. The Chair explained that this a part of a bigger task of digital inclusion and ensuring residents are included and information is accessible.
- d) **Paper enforcement register.** A Member of the Committee asked if they were to request to see the paper register, would it be available and up to date. The Chair invited the Member to do so and informed the Committee that the question would be fed back to the relevant officers.
- e) **Thanks.** The Vice Chair expressed their thanks to the Internal Auditor for the comprehensive report.

Following consideration, the Committee unanimously resolved to:

- (1) **Note the internal audit progress report 2023-2024 from Southern Internal Audit Partnership (SIAP) attached at Appendix 1.**

## 12 EXCLUSION OF THE PRESS AND PUBLIC

The Committee resolved (7 for, and 1 abstaining) to exclude the Press and Public from the meeting, at 21:36, in accordance with Section 100A (4) of the Local Government Act 1972 on the grounds that the business involved the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A to the Act (as amended) and that pursuant to paragraph 10 of Part 2 of the said Schedule 12A the public interest in maintaining the exemption outweighed the public interest in disclosing the information.

## 13 INTERNAL AUDIT - ANNUAL REPORT AND OPINION 2023-2024

The Committee received a report presenting the Annual Internal Audit Report and Opinion 2023-2024.

The Committee's consideration of this item is recorded in a separate (not for publication) restricted Minute.

Following consideration, the Committee unanimously resolved to:

- (1) **Receive the Annual Internal Audit Report and Opinion 2023-2024 attached at Appendix 1.**

*The meeting began at 7.30 pm and ended at 9.45 pm*

COUNCILLOR STEVEN MCCORMICK (CHAIR)

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## REVENUE BUDGET MONITORING - QUARTER 1

|                               |  |
|-------------------------------|--|
| <b>Head of Service:</b>       | Brendan Bradley, Chief Finance Officer |
| <b>Report Author</b>          | Sue Emmons, Chief Accountant           |
| <b>Wards affected:</b>        | (All Wards);                           |
| <b>Appendices (attached):</b> | None                                   |

### Summary

This report presents the forecast revenue outturn position for the current financial year 2024/25, as at Quarter 1 (30 June).

### Recommendation (s)

#### The Committee is asked to:

- (1) Receive the revenue budget monitoring report, which sets-out a projected deficit of £77,000 for 2024/25;
- (2) Agree that regular reports should continue to be prepared for Community & Wellbeing Committee to update members on progress against the Homelessness Strategy and Action Plan;
- (3) Agree that the updated Quarter 2 position will be reported back to Audit and Scrutiny Committee in November.

## 1 Reason for Recommendation

- 1.1 To present the 2024/25 forecast revenue outturn position to members, as at Quarter 1.

## 2 Background

- 2.1 In February 2024, Full Council agreed a net expenditure budget of £8.905m for 2024/25. The budget included a contribution of £1.65m from earmarked reserves to balance.

- 2.2 At Quarter 1, the Council is expected to be within 0.9% of the overall budget at year-end, with a £77,000 deficit forecast. The projected deficit is mainly due to the combined impact of higher demand for housing/homelessness services and underachieved income from Community Services. These adverse variances are partially offset by higher treasury management income on the Council's investments.
- 2.3 It is important to acknowledge that uncertainty remains heightened around future projections, with inflation and interest rates less stable than pre-pandemic years, and the new UK government's policies on local government funding still unknown.
- 2.4 The budget position will continue to be monitored closely, with forecasts updated and reported to members accordingly through the year.

### 3 Forecast Position

- 3.1 A summary of the forecast outturn position by service area for 2024/25 is shown in the following table:

| Forecast Outturn by Service                                       | Current Approved Budget | Forecast Outturn | Forecast Variance |
|---|-------------------------|------------------|-------------------|
|   | £'000                   | £'000            | £'000             |
| <u>Strategy &amp; Resources Committee</u>                         | -                       |                  |                   |
| Democratic & Civic  | 752                     | 752              | 0                 |
| Corporate Functions   | 855                     | 855              | 0                 |
| Corp Financial Management   | 19                      | (306)            | (325)             |
| Tax Collection & Benefits   | 238                     | 238              | 0                 |
| Land Charges  | 19                      | 19               | 0                 |
| Land & Property   | (2,969)                 | (2,969)          | 0                 |
| Economic Dev. & Prosperity  | 74                      | 74               | 0                 |
| Employee and Support Services                                     | (6)                     | (41)             | (35)              |
| Building Control Contract   | 106                     | 106              | 0                 |
| <b>Subtotal Strategy &amp; Resources</b>                          | <b>(912)</b>            | <b>(1,272)</b>   | <b>(360)</b>      |
| <u>Environment Committee</u>                                      |                         |                  |                   |
| Car Parking   | (2,359)                 | (2,359)          | 0                 |
| Environmental Services  | 3,936                   | 3,969            | 33                |
| Community Safety  | 121                     | 121              | 0                 |
| Contract Management   | (11)                    | (11)             | 0                 |
| Environmental Health  | 665                     | 665              | 0                 |
| Countryside, Parks & Open Spaces                                  | 2,459                   | 2,459            | 0                 |
| <b>Subtotal Environment</b>                                       | <b>4,813</b>            | <b>4,846</b>     | <b>33</b>         |
| <u>Community and Wellbeing Committee</u>                          |                         |                  |                   |
| Housing   | 2,589                   | 2,964            | 375               |
| Community Services (Route Call, Meals from Home, Community Alarm) | 442                     | 461              | 19                |

|  |              |              |            |
|--|--------------|--------------|------------|
| Support for Voluntary Orgs.                      | 243          | 243          | 0          |
| Community Centre                                 | 480          | 530          | 50         |
| Health & Wellbeing                               | 318          | 318          | 0          |
| Sports, Leisure & Cultural                       | 1,176        | 1,136        | (40)       |
| Precepting & Levying Bodies (NJMC & EWDC)        | 412          | 412          | 0          |
| <b>Subtotal Community &amp; Wellbeing</b>        | <b>5,659</b> | <b>6,064</b> | <b>404</b> |
| <u>Licensing &amp; Planning Policy Committee</u> |              |              |            |
| Place Development                                | 1,252        | 1,252        | 0          |
| Licensing  | 34           | 34           | 0          |
| <b>Subtotal Licensing &amp; Planning Policy</b>  | <b>1,285</b> | <b>1,285</b> | <b>0</b>   |
| Capital Charges                                  | (1,941)      | (1,941)      | 0          |
| <b>Total General Fund</b>                        | <b>8,904</b> | <b>8,982</b> | <b>77</b>  |

3.2 The £77,000 projected budget deficit across services for 2024/25 would result in a contribution from the General Fund reserve at year-end, decreasing the balance from £2.997m to £2.92m.

3.3 The following section of the report details the individual budget variances that make up the projected deficit of £77,000 within services.

#### 4 Budget Variances

4.1 The main variances to budget are shown by Committee in the following tables.

| Strategy & Resources Committee                 | Adverse / (Favourable) Variance £'000 | Detail   |
|--|---------------------------------------|--|
| Corporate Financial Management                 | (325)                                 | Despite the Bank of England's base rate cut at the end of July 2024, finance officers project that with continued diligent cash management, at least £1.4m of interest income will be achieved for the year, £325,000 higher than the budgeted target. |
| Employee and Support Services                  | (35)                                  | The favourable variance in Employee and Support Services relates to staff vacancies within central teams not covered by agency.  |
| <b>Total Strategy &amp; Resources Variance</b> | <b>(360)</b>                          |  |

| <b>Environment Committee</b>       | <b>Adverse / (Favourable) Variance<br/>£'000</b> | <b>Detail</b>  |
|------------------------------------|--|--|
| Environmental Services (Cemetries) | 33   | The adverse variance relates to an unbudgeted staffing cost due to the passing of a member of staff. |
| <b>Total Environment Variance</b>  | <b>33</b>  |  |

| <b>Community &amp; Wellbeing Committee</b> | <b>Adverse / (Favourable) Variance<br/>£'000</b> | <b>Detail</b>  |
|--|--|--|
| Housing/Homelessness                       | 375  | <p>The Council budgeted to accommodate an average of 70 households in nightly paid accommodation, an increase from the 2023/24 budgeted number of 58. Due to ongoing elevated demand, the Council is currently supporting an average of 90 households to date in nightly paid accommodation.</p> <p>Although government has awarded EEBC an additional £154,000 of Homelessness Prevention Grant to assist the with demand pressures, based on the current run-rate of households requiring support, an adverse variance of £375,000 is still forecast for the year.</p> <p>The Council holds a Homelessness Grant Reserve which may be applied to mitigate the budget pressure in the short term, and officers continue to progress the Homelessness Action Plan to mitigate and manage demand.</p> |

|   |            |  |
|---|------------|--|
| Community Services                              | 19         | The community alarm service is forecast to underachieve income by £32k, partly offset by reduced expenditure. The service is limited in how much it can increase prices due to external competition.   |
| Community Centre                                | 50         | Despite an extensive advertising campaign and efforts to recruit new higher needs clients to the Wellbeing Centre, demand for services has not returned to the pre-pandemic level.<br><br>The Head of Service is currently undertaking a review of Community Services, due to report to C&W Committee in March 2025, which will address the level of income from higher needs service. |
| Sports Leisure & Cultural                       | (40)       | Following the successful café launch last year at Bourne Hall, the venue is forecasting a favourable variance of £40k due to increased income generated.   |
| <b>Total Community &amp; Wellbeing Variance</b> | <b>404</b> |  |

## 5 Employee Costs

- 5.1 At the end of Quarter 1, the Council is tracking in line with its year-to-date employee budget of £3.73m.
- 5.2 Employee costs are monitored monthly to ensure any adverse variances are flagged promptly to Heads of Service, thereby enabling prompt mitigating action to be taken.

## 6 Epsom & Ewell Property Investment Company (EEPIC)

- 6.1 The Council's 2024/25 budget includes £0.6m expected dividend income from Epsom and Ewell Property Investment Company, generated from its two commercial properties. Due to a lease amendment at one of the properties, agreed by S&R Committee in March 2023, the dividend income was reduced by £700k in both 2023/24 and 2024/25 from a previous figure of £1.3m. The reduction in dividend income is mitigated by an appropriation from the Property Income Equalisation Reserve to maintain the contribution to fund Council services.

## 7 Update on 2024/25 Savings/Additional Income Delivery

7.1 The 2024/25 budget requires new savings/additional income totalling £1.25m to be delivered during the year. The delivery status of these savings is summarised in the following table.

| Summary of Budgeted Additional Income/Savings - 2024/25 | Committee | Achieved | In progress | Unlikely to be Achieved in Current Year |
|---|-----------|----------|-------------|---|
|   |           | £000     | £000        | £000                                    |
| Income from Commercial Property                         | S&R       |          | 249         |   |
| Income from Licensing                                   | LPPC      |          | 50          |   |
| Community & Wellbeing Centre - Higher Needs Income      | C&W       |          |             | 30                                      |
| Other Operational Efficiencies                          | All       |          | 27          |   |
| <b>Total Savings</b>                                    |           | <b>0</b> | <b>326</b>  | <b>30</b>                               |

7.2 The RAG rating indicates whether the additional income/saving is considered at either low risk of non-delivery (green), medium risk (amber), or high risk of not being delivered in year (red). Commentary on the highest value and highest risk savings is provided in the following paragraphs:

7.2.1 The Income from Commercial Property target is on track to be achieved, through higher rental income at industrial estate plots following further rent reviews agreed in 2023/24. Officers closely monitor the quarterly rental income due for collection, with no issues currently anticipated for the remainder of the year.

7.2.2 Income from Licensing activities is currently forecast to be on budget by year end and therefore the expectation is that this target will be achieved.

7.2.3 As detailed in section 4, income from the Higher Needs service is forecast to underachieve by £50k, therefore the current expectation is that this savings target will not be met at year end. This will be considered further in the Head of Service's Review of Community Services due to report to C&W Committee in March 2025.

7.2.4 Other savings remain in progress at this early stage of the financial year.

## 8 Revenue Reserves

8.1 At Q1, the general fund balance is forecast to reduce to £2.92m (from £2.997m) by the end of this year.

8.2 Other revenue reserves are projected to stand at £13.9m at 31 March 2025, however, £12.02m of this balance is to manage specific risks and contingencies, including the loss of commercial property income and business rates income in future years. These reserves have enabled the council to temporarily endure the loss of two key tenants in recent years, without having to make urgent, short-term cuts to services to reflect the loss of income. A full review of revenue reserves and commitments was reported to Financial Strategy Advisory Group in July 2024.

8.3 The following table shows a breakdown of the council's revenue reserves, with only the General Fund working balance and corporate projects reserve available for general use:

| General Fund Revenue Reserves              | 01 April 2024<br>Opening<br>Balance<br><br>£'000 | 31 March 2025<br>Forecast<br>Uncommitted<br>Balance<br><br>£'000 |
|--|--|--|
| General Fund                               | 2,997  | 2,920  |
| Corporate Projects Reserve                 | 4,628  | 1,882  |
| <b>Total uncommitted reserves</b>          | <b>7,625</b>                                     | <b>4,802</b>   |
| Contingencies unavailable for general use  | 14,522   | 11,249   |
| Ringfenced funds/grants for specific use   | 3,312  | 772  |
| <b>Total committed/ringfenced reserves</b> | <b>17,834</b>                                    | <b>12,021</b>  |
| <b>Total of all reserves</b>               | <b>25,460</b>                                    | <b>16,824</b>  |

8.4 The Council has committed to hold a minimum balance of £1 million in the corporate projects reserve and £2.5 million in the general fund working balance to manage unforeseen risks.

8.5 This leaves just £1.3 million of available reserves, which the Council allocates on a business case basis, to ensure limited resources are utilised in line with corporate priorities.

## 9 Actions and Next Steps

9.1 To address the projected budget deficit for 2024/25, the Council's senior management is progressing the following key initiatives:

9.1.1 The Head of Service is preparing a report for Community & Wellbeing Committee to consider options for Community Services

9.1.2 Strategy & Resources Committee agreed in July 2024 a budget setting framework for 2025/26 which is being progressed by officers accordingly;

9.1.3 Finance officers will continue to monitor the funding landscape to ensure the Council is kept aware of any new government (or other external) funding opportunities.

- 9.2 The Council's budget position is continuously monitored by the finance team and budget managers. It is expected that the next budget monitoring report to members will be the updated quarter two forecasts to Audit & Scrutiny Committee in November 2024.

## 10 Risk Assessment

Legal or other duties

### 10.1 Equality Impact Assessment

10.1.1 None arising directly from the contents of this report.

### 10.2 Crime & Disorder

10.2.1 None arising directly from the contents of this report.

### 10.3 Safeguarding

10.3.1 None arising directly from the contents of this report.

### 10.4 Dependencies

10.4.1 None arising directly from the contents of this report.

### 10.5 Other

10.5.1 Ultimately, all services will be impacted in some way by the Council's overall budget position over the long term.

10.5.2 A full budget risk assessment is presented to Full Council within February's budget report each year.

## 11 Financial Implications

11.1 Financial implications are set out in the body of the report.

11.2 **Section 151 Officer's comments:** For 2024/25, the Council currently expects to remain relatively close to its overall budget.

11.3 However, there are clear pressures in some services that can be linked to the cost-of-living crisis, particularly within the housing/homelessness team. It is important that the Council continues to pursue initiatives to enable the service to be managed within budget.

11.4 Looking ahead to 2025/26, a budget setting framework was agreed by S&R in July, which officers are progressing accordingly.

11.5 Quarter 2 forecasts for 2024/25 will be brought back to Audit & Scrutiny Committee in November.



## 12 Legal Implications

- 12.1 There are no direct legal implications arising from this report.
- 12.2 **Legal Officer's comments:** None arising from the contents of this report.

## 13 Policies, Plans & Partnerships

- 13.1 **Council's Key Priorities:** The following Key Priorities are engaged:
- Effective Council.
- 13.2 **Service Plans:** The matter is included within the current Service Delivery Plan.
- 13.3 **Climate & Environmental Impact of recommendations:** None arising directly from the contents of this report.
- 13.4 **Sustainability Policy & Community Safety Implications:** None arising directly from the contents of this report.
- 13.5 **Partnerships:** None arising directly from the contents of this report.

## 14 Background papers

- 14.1 The documents referred to in compiling this report are as follows:

### **Previous reports:**

- Budget Report to Full Council – February 2024.

### **Other papers:**

- 2025/26 Strategic Financial Planning – Strategy & Resources, July 2024.
- Review of Reserves – Financial Strategy Advisory Group, June 2024.

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## **CAPITAL BUDGET MONITORING - QUARTER 1**

|                               |  |
|-------------------------------|--|
| <b>Head of Service:</b>       | Brendan Bradley, Chief Finance Officer         |
| <b>Report Author:</b>         | Vanessa Newton, Senior Accountant              |
| <b>Wards affected:</b>        | (All Wards);                                   |
| <b>Appendices (attached):</b> | Appendix 1: Update of Capital Project Progress |

### **Summary**

This report presents the capital monitoring position at Quarter 1 for the current financial year 2024/25.

### **Recommendation (s)**

#### **The Committee is asked to:**

- (1) Receive the capital monitoring position at Quarter 1, as set out in the report;**
- (2) Note the progress of capital projects as set out in Appendix 1.**

## **1 Reason for Recommendation**

- 1.1 To present the capital budget monitoring position to members for Quarter 1 and to provide an update on the progress of individual capital projects.

## **2 Background**

- 2.1 This report summarises the capital monitoring information at the end of the first quarter of 2024/25. It details actual capital expenditure and receipts against capital budgets and financing. The report also provides the forecast outturn position and variances at year-end.
- 2.2 The core capital programme does not include investments made through the property acquisition funds; this activity is summarised within section 5.
- 2.3 Due to its exceptional nature and scope, the Town Hall relocation project is managed separately from the core capital programme, therefore it does not form part of this report.

### 3 Core Capital Programme

3.1 The expenditure budget per Committee for the core capital programme is shown below:

| Committee                           | 2024/25 Original Budget<br>£'000 | Carry forwards from 2023/24<br>£'000 | Additions during 2024/25<br>£'000 | 2024/25 Current Approved Schemes<br>£'000 |
|-------------------------------------|----------------------------------|--------------------------------------|-----------------------------------|---|
| Strategy & Resources                | 250                              | 972                                  | 0                                 | 1,222                                     |
| Environment                         | 490                              | 565                                  | 41                                | 1,096                                     |
| Community & Wellbeing               | 1,211                            | 850                                  | 828                               | 2,889                                     |
| Licensing & Planning Policy         | 0                                | 0                                    | 0                                 | 0   |
| <b>Total Core Capital Programme</b> | <b>1,951</b>                     | <b>2,387</b>                         | <b>869</b>                        | <b>5,207</b>                              |

3.2 The 2024/25 budget was agreed by full Council in February 2024. The budgets carried forward from 2023/24 were approved at Strategy & Resources Committee on 23 July 2024.

3.3 The additions during 2024/25 comprise of £828k relating to the purchase of a temporary accommodation property, as agreed by urgent decision 131, funded by the residential property investment fund. The additional £41k relates to the purchase of three new electric vehicles for Meals at Home Service and is funded by a Surrey County Council grant.

3.4 Actual expenditure on the core capital programme to the end of June 2024 and a full year forecast is summarised below:

| Committee                           | 2024/25 Current Approved<br>£'000 | YTD Expenditure<br>£'000 | Forecast Outturn<br>£'000 | Forecast Variance<br>£'000 |
|-------------------------------------|-----------------------------------|--------------------------|---------------------------|----------------------------|
| Strategy & Resources                | 1,222                             | 58                       | 770                       | (452)                      |
| Environment                         | 1,096                             | 471                      | 987                       | (109)                      |
| Community & Wellbeing               | 2,889                             | 329                      | 2,250                     | (639)                      |
| Licensing & Planning Policy         | 0                                 | 0                        | 0                         | 0                          |
| <b>Total Core Capital Programme</b> | <b>5,207</b>                      | <b>858</b>               | <b>4,007</b>              | <b>(1,200)</b>             |

3.5 On the core capital programme, the forecast outturn for the full year is £4m. The forecast favourable variance of £1.2m comprises of: some works expected to be delivered in 2025/26, £450,000 on ICT projects and £349,000 on the Disabled Facilities Grant (DFG) scheme; some schemes that have been paused, £170,000 on the Alexander Recreation Dojo scheme whilst additional funding is sought, and the two Wellbeing centre schemes totalling £120,000, pending completion of the Review of Community Services; and schemes completed with favourable variances, £54,000 on the replacement street lamp project, £40,000 on the Poole Road Pavilion roof replacement, and £25,000 on the sewerage contamination works at the Depot. These are offset by a small adverse variance of £8,000 on the Ashley Centre Car Park Expansion Joints Phase 2 scheme.

3.6 An update on the progress of individual schemes is set out in Appendix 1.

#### 4 Financing of Capital Expenditure 2024/25

4.1 The provisional financing of the 2024/25 core capital programme is summarised below:

| Financing of Core Capital Programme | 2024/25<br>Current Approved Budget<br>£'000 |
|-------------------------------------|---|
| Capital Receipts Reserves           | 1,563                                       |
| Capital Grants-DFG                  | 1,449                                       |
| Budgeted Revenue Contributions      | 500   |
| Revenue Reserves                    | 828   |
| Section 106                         | 56  |
| Community Infrastructure Levy       | 769   |
| External Grant                      | 42  |
| <b>Total</b>                        | <b>5,207</b>                                |

#### 5 Property Acquisition Funds

##### Commercial Property

5.1 The Council retains one in-Borough commercial property acquisition fund, which has a remaining balance of £49.6m available for investment. Please note, this is not a reserve that the Council holds; it is a limit (approved by Full Council) up to which borrowing could be undertaken.

Residential Property

5.2 In 2016/17, the Council established a £3m fund to purchase residential property, principally to assist the Council to manage homelessness and reduce associated costs.

The remaining balances on the Property Acquisition Funds are shown in the following table:

| Property Acquisition Funds         | Commercial Property (in-Borough)<br>£000 | Residential Property<br>£000 | Total<br>£000 |
|------------------------------------|--|------------------------------|---------------|
| Opening fund balance               | 80,000                                   | 3,000                        | 83,000        |
| Purchases during 2016/17           | (19,206)                                 | (811)                        | (20,017)      |
| Purchases during 2017/18           | (5,148)                                  | (562)                        | (5,710)       |
| Purchases during 2018/19           | 0  | (257)                        | (257)         |
| Purchases during 2019/20           | (6,077)                                  | (20)                         | (6,097)       |
| Purchases during 2020/21           | 0  | (95)                         | (95)          |
| Purchases during 2021/22           | 0  | (238)                        | (238)         |
| Purchases during 2022/23           | 0  | (39)                         | (39)          |
| Purchases during 2023/24           | 0  | 0                            | 0             |
| YTD purchases during 2024/25       | 0  | 0                            | 0             |
| Current commitments                | 0  | (828)                        | (828)         |
| <b>Fund balances at 30/06/2024</b> | <b>49,569</b>                            | <b>150</b>                   | <b>49,719</b> |

5.3 The £828k commitment shown under the residential property investment fund is for the purchase of temporary accommodation.

**6 S106 Developer Contributions**

6.1 The balance of S106 funds held by the authority are set out in the following table:

|  | £'000 | £'000        |
|--|-------|--------------|
| <b>Section 106 funds held as at 1 April 2024</b> |       | <b>1,823</b> |

|   |       |              |
|---|-------|--------------|
| Section 106 net receipts to 30 June 2024          |       | 3            |
| <b>Balance of S106 Funds held as 30 June 2024</b> |       | <b>1,826</b> |
| Less:   |       |              |
| Funds held due to SCC and other organisations     | (130) |              |
| Funds committed and approved for specific schemes | (590) |              |
|   |       | (720)        |
| <b>Unallocated S106 funds as at 30 June 2024</b>  |       | <b>1,106</b> |

6.2 S106 agreements specify for what purpose the funds may be spent. The breakdown of current unallocated balances against the different categories is detailed in the following table:

|   |              |
|---|--------------|
| <b>Breakdown of unallocated S106 balances</b> | <b>£'000</b> |
| Affordable Housing                            | 1,106        |
| <b>Total</b>                                  | <b>1,106</b> |

6.3 The majority of S106 balances are within Affordable Housing; this funding is used to facilitate provision within the Borough where the development is not financially viable without additional funding. Planning officers work with providers to identify schemes where the affordable housing would not be deliverable without the additional support.

6.4 The £590k funds allocated for specific schemes include £435k of Affordable Housing S106 funds have been earmarked for a temporary accommodation pods at Fairview Road; £56k remains of the £125k agreed for the refurbishment of Flat at Ewell Court House for temporary accommodation with the remaining balance comprising of small schemes such as park bench and signage replacement and maintenance of play equipment.

## 7 Community Infrastructure Levy

7.1 The Council raised invoices totalling £535k for Community Infrastructure Levy (CIL) for the period 1 April 2024 to 30 June 2024.

7.2 5% is used for administering the scheme and 15% is ring fenced for a local spending fund comprising two schemes, a CIL Neighbourhood Scheme and a Borough Investment Fund. CIL balances are set out in the following table:

|   | <b>Main Fund<br/>(80%)<br/>£'000</b> | <b>Community<br/>Fund (15%)<br/>£'000</b> | <b>Admin Fee<br/>(5%)<br/>£'000</b> | <b>Total<br/>£'000</b> |
|---|--------------------------------------|---|-------------------------------------|------------------------|
| <b>CIL funds held at 1 April 2024</b>       | <b>8,202</b>                         | <b>1,252</b>                              | <b>141</b>                          | <b>9,595</b>           |
| CIL invoices raised to 30 Jun 2024          | 428                                  | 80  | 27                                  | 535                    |
| Invoices outstanding at 30 Jun 2024         | (239)                                | (45)                                      | (15)                                | (299)                  |
| Receipt held as charge against property     | (1)                                  | 0   | 0                                   | (1)                    |
| CIL Payments made to 30 Jun 2024            | 0                                    | 0   | 0                                   | 0                      |
| <b>CIL Funds held at 30 Jun 2024</b>        | <b>8,390</b>                         | <b>1,287</b>                              | <b>153</b>                          | <b>9,830</b>           |
| <i>Less commitments:</i>                    |                                      |   |                                     |                        |
| Stoneleigh Station                          | (400)                                | 0   | 0                                   | (400)                  |
| Replacement of EEBC Lamp Columns            | (369)                                | 0   | 0                                   | (369)                  |
| CIL Neighbourhood Fund 2022/23              | 0                                    | (61)                                      | 0                                   | (61)                   |
| CIL Neighbourhood Fund 2024/25              | 0                                    | TBC                                       | 0                                   | TBC                    |
| Monitoring CIL scheme in 2024/25            | 0                                    | 0   | (103)                               | (103)                  |
| <b>Unallocated CIL funds at 30 Jun 2024</b> | <b>7,621</b>                         | <b>1,226</b>                              | <b>50</b>                           | <b>8,897</b>           |

7.3 Large sums are collected in instalments so not all the cash has been received at this date. Of the £299k of invoices raised but not yet collected, only £37k relates to financial years prior to 2024/25.

## 8 CIL Neighbourhood Scheme (15%)

8.1 CIL 15% Neighbourhood Scheme projects are reported separately to Licencing & Planning Policy Committee and also to Strategy & Resources Committee for any schemes over £50,000. Updates will also be made through the Member News channel.

## 9 Capital Receipts

9.1 The expected balance of capital receipt reserves is shown below:

| <b>Capital Reserves</b>                             | <b>Capital<br/>Receipts<br/>Reserve<br/>£'000</b> |
|---|---|
| <b>Balance brought forward at 1 April 2024</b>      | <b>3,808</b>                                      |
| Estimated use to fund the 2024/25 capital programme | (1,563)   |



|   |              |
|---|--------------|
|   |              |
| Capital receipts received to 30 June 2024 | 130          |
| <b>Estimated Balance at 31 March 2025</b> | <b>2,375</b> |

- 9.2 During 2024/25, the Council has received a net receipt of £130k for a deed of easement to lift a restricted covenant on Council land off Kiln Lane.

## 10 Risk Assessment

Legal or other duties

### 10.1 Equality Impact Assessment

10.1.1 The impact of each scheme is assessed during the capital bidding process.

### 10.2 Crime & Disorder

10.2.1 None arising directly from the contents of this report.

### 10.3 Safeguarding

10.3.1 None arising directly from the contents of this report.

### 10.4 Dependencies

10.4.1 None arising directly from the contents of this report.

### 10.5 Other

10.5.1 Global events and rising inflation have caused firms to significantly increase their quotes for works, having a major impact on the Council's ability to source contractors within budget. This is likely to impact on both current and future capital projects.

## 11 Financial Implications

11.1 Financial implications are set out in the body of the report.

11.2 **Section 151 Officer's comments:** If members have a detailed question(s) on particular capital projects, it is requested that these be submitted in advance where possible, to enable officers to investigate with the relevant scheme manager.

11.3 Updated capital projections at Quarter 2 will be brought to Audit and Scrutiny Committee in November.

## 12 Legal Implications

12.1 There are no direct legal implications arising from this report.

12.2 **Legal Officer's comments:** None for the purposes of this report.

### 13 Policies, Plans & Partnerships

13.1 **Council's Key Priorities:** The following Key Priorities are engaged:  
Effective Council.

13.2 **Service Plans:** The matter is included within the current Service Delivery Plan.

13.3 **Climate & Environmental Impact of recommendations:** The impact of each scheme is assessed during the capital bidding process.

13.4 **Sustainability Policy & Community Safety Implications:** None arising directly from the contents of this report.

13.5 **Partnerships:** None arising directly from the contents of this report.

### 14 Background papers

14.1 The documents referred to in compiling this report are as follows:

**Previous reports:**

- Budget Report to Full Council – 13 February 2024.

**Other papers:**

- None.

Capital Project Progress – 2024/25 Quarter 1

| Project   | Current Approved Budget<br>£ | Actuals to Q1<br>2024/25<br>£ | Year End Forecast<br>2024/25<br>£ | Estimated Variance<br>£ | Comments from Manager   | Target Completion   |
|---|------------------------------|-------------------------------|-----------------------------------|-------------------------|---|---|
| Disabled Facilities Grants and Small Repairs Grants       | 1,448,780                    | 191,507                       | 1,100,000                         | (348,780)               | The DFG programme continues to support residents requiring adaptations to enable them to continue living in their own homes. This year's £1.1m spend is for the Home Improvement Agency to assist disabled, elderly and vulnerable residents to stay in their homes safely and independently. This is achieved through home assessments by the team, using the various forms of grant assistance that are available along with the Handy Person service. In addition, the team has teamed up with Action Surrey to replace condemned and inefficient boilers to eligible households across the borough. | Ongoing   |
| Ashley Centre Car Park Expansion Joints Phase 2           | 37,000                       | 45,068                        | 37,000                            | 8,068                   | Works carried out by a specialist contractor ensuring joints are waterproof, guaranteed for 10 years. A waiver was approved for extra funding.  | Completed May 2024  |
| Ashley Centre Car Park - Waterproofing joints to level 4D | 50,000                       | 39,067                        | 52,367                            | 2,367                   | Works were in two parts. Part one – Waterproofing of car park Level 4. Part two – Replacement of flat roof over garages above Level 4. Extra work to flat roof caused overspend, a waiver was obtained approving additional spend. This waterproofing ensures that there will be no water ingress into the new Primark shop due beneath.  | Original target date: March 2022<br>Completed August 2024 |
| Flat 1 Ewell Court House                                  | 56,444                       | 50,936                        | 53,708                            | (2,735)                 | Works were completed successfully, and property handed over to Housing department for Temporary Accommodation.  | Completed May 2024  |

Capital Project Progress – 2024/25 Quarter 1

| Project   | Current Approved Budget<br>£ | Actuals to Q1 2024/25<br>£ | Year End Forecast 2024/25<br>£ | Estimated Variance<br>£ | Comments from Manager   | Target Completion   |
|---|------------------------------|----------------------------|--------------------------------|-------------------------|---|---------------------|
| ICT Programme of Works                            | 480,965                      | 400                        | 214,500                        | (266,465)               | Works continue on the network refresh and preparatory work has been done on the design of the network at 70 East Street.<br>Revenue and Benefit replacement Document Management System is underway with NEC with a view that the test system will be online in the Autumn.<br>Laptop roll out has started and the issuing of laptops to all Town Hall staff is anticipated to be completed by the end of the year. This will leave remaining months in the current financial year to issue laptops and some monitor upgrades to other sites including Bourne Hall and Longmead Depot. | March 2025          |
| Sewerage contamination prevention- Longmead depot | 50,000                       | 0                          | 24,875                         | (25,125)                | Works completed to stakeholders' satisfaction and significantly under budget.   | Completed July 2024 |
| Ashley Centre – Barrier controlled parking system | 240,000                      | 0                          | 240,000                        | 0                       | Works due to take place in October 2024. The ICT department and the merchant card provider are working on this project.   | November 2024       |
| Acquisition of temporary accommodation            | 827,950                      | 3,050                      | 827,950                        | 0                       | Contracts are due to be exchanged in September for the purchase of this property for use as temporary accommodation.  | September 2024      |

Capital Project Progress – 2024/25 Quarter 1

| Project   | Current Approved Budget £ | Actuals to Q1 2024/25 £ | Year End Forecast 2024/25 £ | Estimated Variance £ | Comments from Manager  | Target Completion                        |
|---|---------------------------|-------------------------|-----------------------------|----------------------|--|--|
| Bourne Hall - Patio for outside seating area for café | 15,711                    | 1,697                   | 15,711                      | 0                    | The main patio works were completed in the previous financial year with the remaining budget covers ancillary items.   | March 2025                               |
| Replacement of CRM and Data Warehouse                 | 284,701                   | 6,180                   | 102,000                     | (182,701)            | Allotments module is now working and live. Waste modules (General, Garden and Trade) are expected to be migrated and live by the end of the year. The plan is for phases 1 and 2 for My Council services are to be completed in current financial year. Work progresses on the specification of a datacentre with a view for implementation in the current year to support the cloud strategy. | March 2025                               |
| Replacement of EEBC Lamp Columns                      | 568,841                   | 0                       | 514,825                     | (54,016)             | Majority of works for phase 2 completed successfully with an extra column fitted in Gibraltar recreation park. Outstanding works are the relocation of lamp columns from inside Long Grove park children’s nursery to outside. In addition, works to be actioned on one lamp column in the Town hall car park as unable to locate electricity supply.  | March 2022 – Revised date: December 2024 |
| Meals at home service                                 | 41,500                    | 0                       | 41,500                      | 0                    | Three electric vehicles purchased and in use.  | Completed May 2024                       |

Capital Project Progress – 2024/25 Quarter 1

| Project                                       | Current Approved Budget<br>£ | Actuals to Q1<br>2024/25<br>£ | Year End Forecast<br>2024/25<br>£ | Estimated Variance<br>£ | Comments from Manager   | Target Completion   |
|---|------------------------------|-------------------------------|-----------------------------------|-------------------------|---|---|
| Bourne Hall roof replacement and solar panels | 306,000                      | 132,925                       | 306,000                           | 0                       | Flat roof works Phase 1 - works completed. Whilst contractor on site, prudent to continue and complete whole of flat roofs thus a waiver was raised and Phase 2 completed. Cost of roof works £208,600 excluding VAT. There was a structural investigation to ascertain strength of roof to support solar panels. This concluded that the roof was not able to support panels and therefore a listed building consent application has been submitted to include new structural framework to provide support. Forecast includes consultancy costs for window replacements and application for listed building consent. Solar panels yet to be installed pending listed building consent. | Roof works completed August 2024<br><br>Solar panels awaiting listed building consent |
| Poole Road Pavilion - Roof replacement        | 108,848                      | 59,147                        | 68,848                            | (40,000)                | The project budget was initially £150,000 in 2023/24, however quotes were subsequently much higher. Additional funding of £105,000 was approved at S&R committee meeting on 21 <sup>st</sup> September 2023. The project has been completed £40,000 under the updated budget, mainly as the contingency was not fully required. Works guaranteed for 40 years.  | Completed April 2024  |

Capital Project Progress – 2024/25 Quarter 1

| Project                                   | Current Approved Budget<br>£ | Actuals to Q1<br>2024/25<br>£ | Year End Forecast<br>2024/25<br>£ | Estimated Variance<br>£ | Comments from Manager   | Target Completion |
|---|------------------------------|-------------------------------|-----------------------------------|-------------------------|---|-------------------|
| Alex Rec Dojo                             | 170,000                      | 0                             | 0                                 | (170,000)               | The old building has been demolished; a planning application was submitted for the new proposal at Committee in November 2023. Quote for works amounted to £390,000, as this is higher than budget, other sources of grant funding are being investigated. Works will commence if funding/necessary approvals can be secured. | N/A               |
| Wellbeing Centre Solar panel installation | 60,000                       | 0                             | 0                                 | (60,000)                | Works pending completion of the Review of Community Services report by Community and Wellbeing Head of Service. Report to be submitted March 2025.  | N/A               |
| Wellbeing Centre Windows replacement      | 60,000                       | 0                             | 0                                 | (60,000)                | Works pending completion of the Review of Community Services report by Community and Wellbeing Head of Service. Report to be submitted March 2025.  | N/A               |
| Stoneleigh Station Step free access       | 400,000                      | 0                             | 400,000                           | 0                       | The Council’s agreed contribution of CIL funding towards the Network Rail project to create step free access at Stoneleigh Station is expected to be paid during 2024/25. This project is managed by Network Rail.  | To be confirmed   |

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## PERFORMANCE AND RISK REPORT - SEPTEMBER 2024

|                               |  |
|-------------------------------|--|
| <b>Head of Service:</b>       | Andrew Bircher, Interim Director of Corporate Services   |
| <b>Report Author:</b>         | Will Mace, Business Assurance Manager                    |
| <b>Wards affected:</b>        | (All Wards)  |
| <b>Appendices (attached):</b> | Appendix 1 – Corporate Performance Report-September 2024 |

### Summary

The appendix to this report provides an overview of the council's performance with respect to its 2024-25 annual plan objectives, key performance indicators, corporate risks, committee risks, and annual governance statement actions.

### Recommendation (s)

#### The Committee is asked to:

- (1) **Note and comment on the performance and risk information located at Appendix 1.**

## 1 Reason for Recommendation

- 1.1 The terms of reference for this committee includes the responsibility for reviewing the performance of the council, and evaluating and monitoring progress on whether expected outcomes are being achieved in accordance with the council's strategic plans.
- 1.2 This report has been brought to the committee to aid its members in meeting these objectives.

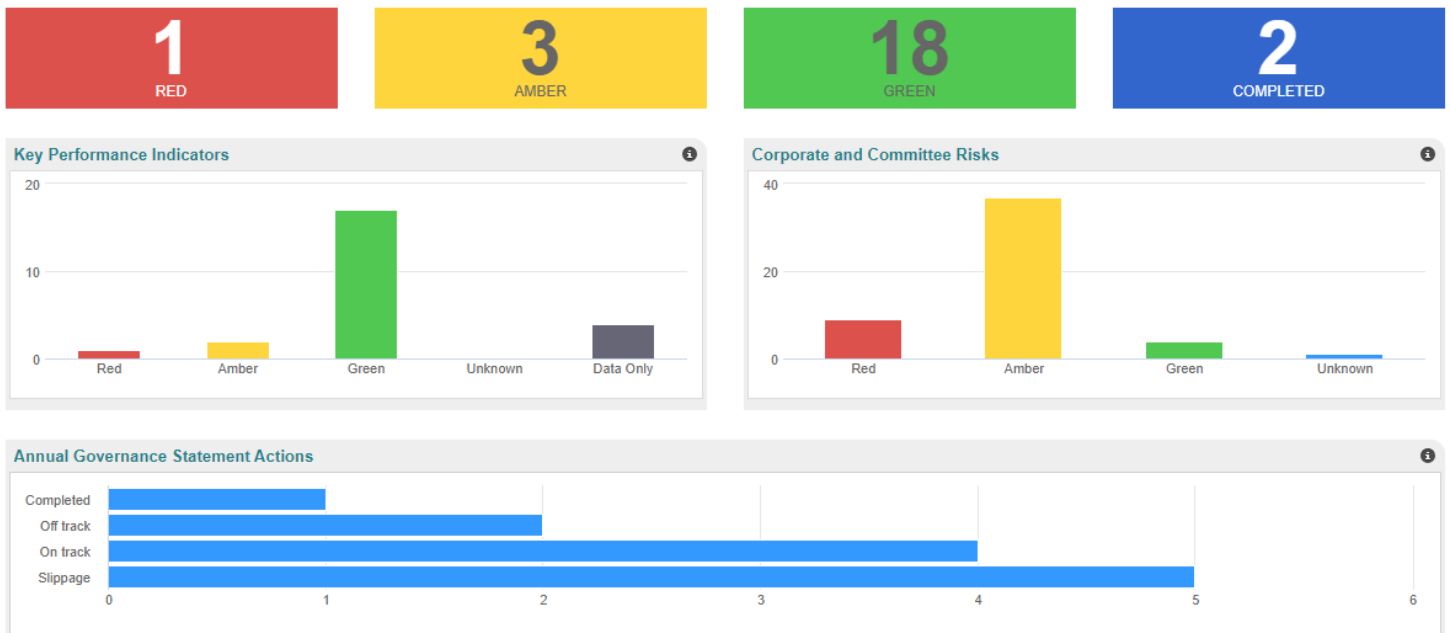
## 2 Background

- 2.1 The 2024 - 2025 Annual Plan was approved by the Strategy and Resources Committee on the 25<sup>th</sup> January 2024, based on which the individual service delivery plans have been produced.

**3 Quarter 1 Performance Report (April 2024 – June 2024)**

- 3.1 Appendix 1 comprises a corporate performance report for Quarter 1. Alongside progress updates for the Annual Plan 2024-2025, the report includes key performance indicators, the corporate risk register, and various committee risk registers.
- 3.2 A key aim of the updated report is to provide a concise overview of how the council is performing, in a single document, regarding its strategic objectives, service delivery, and risks that may hinder its ability to deliver these.
- 3.3 Appendix 1 also sets out the Annual Governance Statement actions, which were recently approved by this Committee on the 25<sup>th</sup> of July 2024.
- 3.4 The table below presents the summary dashboard from Appendix 1. Please note that key performance indicator information is provided on a quarterly basis, unless stated otherwise in Appendix 1. The other performance and risk information is the latest update at the time of this report’s writing. Further details can be found in Appendix 1.

Annual Plan Actions 2024-2025



**4 Risk Assessment**

**Legal or other duties**

**4.1 Equality Impact Assessment**

4.1.1 No direct risks.

**4.2 Crime & Disorder**

4.2.1 No direct risks.

**4.3 Safeguarding**

4.3.1 None for the purposes of this report.

**4.4 Dependencies**

4.4.1 The production of this report is dependent on the capacity of other service areas and committees to consider and contribute to its content.

**4.5 Other**

4.5.1 None: corporate risks and committee risks are included in Appendix 1.

**5 Financial Implications**

5.1 No financial implications for the purposes of this report.

5.2 **Section 151 Officer's comments:** None arising from the contents of this report.

**6 Legal Implications**

6.1 No legal implications for the purposes of this report.

6.2 **Legal Officer's comments:** None arising from the contents of this report.

**7 Policies, Plans & Partnerships**

7.1 **Council's Key Priorities:** The following Key Priorities are engaged: Green & Vibrant, Safe & Well, Opportunity & Prosperity, Smart & Connected, Cultural & Creative, Effective Council.

7.2 **Service Plans:** The matter is reflected in the 2024-2025 Service Delivery Plan.

7.3 **Climate & Environmental Impact of recommendations:** The Annual Plan reflects some objectives relating to climate change.

7.4 **Sustainability Policy & Community Safety Implications:** The Annual Plan reflects some objectives relating to community safety and enforcement.

7.5 **Partnerships:** Successful achievements of some objectives will require work with partners.

## 8 Background papers

8.1 The documents referred to in compiling this report are as follows:

### Previous reports:

- Epsom and Ewell Borough Council (2024) -Annual Plan 2024-2025, Strategy and Resources Committee, 25 January 2024 Online available: <https://democracy.epsom-ewell.gov.uk/ieListDocuments.aspx?CId=132&MId=1510> [Last accessed: 13/08/2024]

### Others:

- Epsom and Ewell Borough Council - Audit and Scrutiny Committee: Terms of reference. Online available: <https://democracy.epsom-ewell.gov.uk/mgCommitteeDetails.aspx?ID=157> [Last accessed: 11/08/2023]



# Corporate Performance Report

Quarter 1 2024-2025

## Annual Plan Progress

Each year we prepare an Annual Plan, which contains objectives and actions that will deliver on the themes outlined in our Four Year Plan.

| Action Expected Outcome |    |
|-------------------------|----|
| Completed               | 2  |
| Off track               | 1  |
| On track                | 18 |
| Slippage                | 3  |

| No       | Committee & Relevant Service                     | Key Deliverables        | Target   | Dates/Key Milestones | RAG Status | Commentary   | Updated     |
|----------|--|-------------------------|--|----------------------|------------|--|-------------|
| AP24/5.1 | Finance Service; Strategy & Resources Committee  | Set a balanced budget.  | Set balanced budget, progressing towards removing reliance on the use of reserves to fund day-to-day services.   | 31-Mar-2025          | ●          | Budget setting framework agreed at S&R in July 2024, alongside a scheduled programme of service reviews. | 07-Aug-2024 |
| AP24/5.2 | Executive Office; Strategy & Resources Committee | Sustainable budget plan | Plan developed by completion date, to be followed by implementation as agreed in the plan. Deliver a plan in conjunction with Budget Policy Chairs and Vice Chairs that will have a multi-year programme of prioritised service reviews as part of the budget making process in successive years with the aim of delivering sustainable budgets through the MTFS 2024-28. Consider opportunities for collaborative work with other organisations | 31-Jul-2024          | ●          | Service Review Plan agreed at July's S&R Committee.  | 09-Aug-2024 |

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Agenda Item 6  
Appendix 1

| No       | Committee & Relevant Service   | Key Deliverables  | Target   | Dates/Key Milestones | RAG Status | Commentary   | Updated     |
|----------|--|---|--|----------------------|------------|--|-------------|
| AP24/5.3 | ICT Service; Strategy & Resources Committee                            | Deliver ICT Strategy objectives   | Deliver the ICT Strategy's 2024/25 road map objectives   | 31-Mar-2025          | ●          | <ul style="list-style-type: none"> <li>The ICT Strategy objectives have been reconfirmed with very minor changes in light of information from the last year</li> <li>Sections around Mobile Telephony have already been completed and a new Cloud based provider for PBX is under small scale live testing with the Playhouse</li> </ul> | 09-Aug-2024 |
| AP24/5.4 | Executive Office; Strategy & Resources Committee                       | Develop operational project plan for Town Hall move                       | Regular progress updates on i) and ii) below to be provided via Strategy & Resources Committee Chairs' meetings and budget Policy Chairs.(i) Develop full operational project structure, plan and associated documentation for the Town Hall move to 70 East Street and progress delivery. (ii) Prepare a high level roadmap / timeline for councillors including key workstreams, deliverables and budget/costs | 31-Jul-2024          | ●          | <p>on track</p> <p>governance in place</p> <p>qs on board</p> <p>detailed work programme now in development</p>  | 22-Aug-2024 |
| AP24/5.5 | Property Regeneration Service ; Strategy & Resources Committee         | Proposals for future of current Town Hall site                            | Decision made by Full Council on the proposals around the development / disposal of the current Town Hall site.  | 31-Dec-2024          | ●          | Three Member Working Group meetings held on 17 April, 17 May and 15 July 2024. The 3rd MWG was postponed from 17 June due to the General Election. All member briefing to be held in September / October 2024 to update members on the outcome of the Outline Strategic Business Case.   | 12-Aug-2024 |
| AP24/5.6 | Policy and Corporate Resources Service; Strategy & Resources Committee | Review and update the Procurement Strategy, CSOs and associated documents | Strategy updated and approved by Strategy & Resources Committee by "Completion Date". This objective is dependent on the when the Government adopts the new legislation.   | 31-Mar-2025          | ●          | <ul style="list-style-type: none"> <li>Draft of the CSO done and on schedule to take to S&amp;R in September</li> </ul>  | 06-Aug-2024 |

| No        | Committee & Relevant Service   | Key Deliverables   | Target  | Dates/Key Milestones | RAG Status | Commentary  | Updated     |
|-----------|--|--|---|----------------------|------------|---|-------------|
| AP24/5.7  | Property Regeneration Service ; Strategy & Resources Committee         | Develop the scope and terms of reference for a detailed Asset Management Plan review | Report submitted to Strategy & Resources Committee Chairs by "Completion Date".   | 31-Jul-2024          |            | Direction of travel agreed to review Asset Management Plan Annex 1 schedule detailing all property assets. Slight slippage due to competing priorities but due to report to S&R Chairs in September 2024.       | 12-Aug-2024 |
| AP24/5.8  | Property Regeneration Service ; Strategy & Resources Committee         | Develop a new Property Strategy  | Report submitted to Strategic Leadership Team and agreed at Full Council by "Completion Date".  | 31-Mar-2025          |            | Discussion ongoing with Chair / Vice Chair of S&R to develop Property Strategy scope for residential acquisitions.  | 12-Aug-2024 |
| AP24/5.9  | Policy and Corporate Resources Service; Strategy & Resources Committee | Embed a Risk Management Strategy ethos   | Embed a Risk Management Strategy ethos in the delivery of services and review of policy. Risk Management Strategy reviewed and approved annually by Strategy & Resources Committee by "Completion Date".  | 30-Nov-2024          |            | ADofCS is currently looking to source an external consultant to run risk workshops with Councillors on risk appetite.   | 06-Aug-2024 |
| AP24/5.10 | Executive Office; Strategy & Resources Committee                       | Corporate Peer Challenge report and adopt an action plan.                            | Draft report submitted to Strategic Leadership Team and agreed at Full Council by "Completion Date".  | 30-Sep-2024          |            | Action Plan adopted at S&R Committee on 23/07/24  | 16-Aug-2024 |
| AP24/5.11 | Licensing & Planning Policy Committee; Place Development Service       | Progress the Local Plan toward Regulation 19 submission.                             | <ul style="list-style-type: none"> <li>Progress the Local Plan toward Regulation 19 submission.</li> <li>Submit the final version of the Town Hall Master Plan to LPPC in Autumn 2024.</li> <li>Publish the revised Infrastructure Delivery Plan alongside the Regulation 19 Consultation.</li> </ul> | 31-Mar-2025          |            | <ul style="list-style-type: none"> <li>Reg 19 Plan being prepared for consideration by LPPC in November 2024</li> <li>Proposed changes to national planning policy currently subject to consultation</li> </ul> | 08-Aug-2024 |



| No        | Committee & Relevant Service  | Key Deliverables   | Target  | Dates/Key Milestones | RAG Status | Commentary  | Updated     |
|-----------|---|--|---|----------------------|------------|---|-------------|
| AP24/5.12 | Licensing & Planning Policy Committee; Place Development Service        | Implement CIL spending protocol  | Projects evaluated and recommendations taken to Licensing and Planning Policy Committee   | 30-Nov-2024          | ●          | <ul style="list-style-type: none"> <li>Spending Protocol Adopted - January 2024</li> <li>Annual CIL funding round - complete</li> <li>CIL Member working group - established</li> </ul> | 07-Aug-2024 |
| AP24/5.13 | Community & Wellbeing Committee; Housing and Communities Service        | Deliver of the Arts, Cultural and Heritage Strategy  | Deliver 2024-2025 objectives  | 31-Mar-2025          | ●          | Delivery of 2024/25 Action Plan - attributed to Arts, Culture and Heritage Strategy is underway and progressing well.   | 15-Aug-2024 |
| AP24/5.14 | Community & Wellbeing Committee; Housing and Communities Service        | Deliver and implement revised Health and Wellbeing Strategy and deliver the 2024/25 objectives | <ul style="list-style-type: none"> <li>In year objectives delivered</li> <li>Strategy submitted to committee 31/07/2024</li> </ul>  | 31-Mar-2025          | ●          | The strategy is delayed due to the development and progression of the Neighbourhood Board. The Council wishes for this to be a joint strategy and further work is required.             | 15-Aug-2024 |
| AP24/5.15 | Community & Wellbeing Committee; Housing and Communities Service        | Implement the Homelessness and Rough Sleeper Strategy  | <ul style="list-style-type: none"> <li>In year objectives complete, including updating empty homes policy.</li> <li>Quarterly reports to the Community &amp; Wellbeing Committee Chairs meeting.</li> <li>Housing event held</li> <li>and network operational.</li> </ul> | 31-Mar-2025          | ●          | The majority of actions are either complete or on track. Most recently updated at Community & Wellbeing Committee July 2024   | 16-Aug-2024 |
| AP24/5.16 | Community & Wellbeing Committee; Policy and Corporate Resources Service | Leisure Centre contract retender   | <ul style="list-style-type: none"> <li>Tender milestones achieved, and</li> <li>briefing note prepared for S&amp;R and C&amp;W Committee Chairs and Vice Chairs.</li> <li>In year objectives delivered.</li> </ul>  | 31-Mar-2025          | ●          | <ul style="list-style-type: none"> <li>Consultant appointed - FMG</li> <li>Structural survey tender underway</li> <li>Councillor briefing on 31st July 2024</li> </ul>                  | 06-Aug-2024 |





| No        | Committee & Relevant Service                                     | Key Deliverables   | Target  | Dates/Key Milestones | RAG Status  | Commentary   | Updated     |
|-----------|--|--|---|----------------------|---|--|-------------|
| AP24/5.17 | Community & Wellbeing Committee; Housing and Communities Service | Implement a programme of "Homelessness pods"                       | <ul style="list-style-type: none"> <li>Report submitted to Strategic Leadership Team and</li> <li>agreed at with relevant Policy Committee Chairs by "Completion Date".</li> </ul>  | 31-Jul-2024          |    | Officers are still looking to situate pods on both sites. Fairview Road is due to go to Planning Committee in October, Strategy & Resources (S&R) Committee approved £435,000 towards funding the scheme in January 2023. Proposals for Depot Road are being developed, however, the funding for this project is not yet confirmed. A report is to be provisionally submitted to November S&R Committee.   | 11-Sep-2024 |
| AP24/5.18 | Community & Wellbeing Committee; Operational Services            | Venue income generation programme                                  | <ul style="list-style-type: none"> <li>Initiatives presented to relevant policy committee Chairs and</li> <li>quarterly update to Community &amp; Wellbeing Committee Chairs meetings.</li> </ul>                             | 31-Mar-2025          |    | <ul style="list-style-type: none"> <li>Initiatives will be presented and updated to the community and Wellbeing Committee Chairs on a quarterly basis.</li> <li>The success of each initiative will also be reported at these quarterly meetings.</li> <li>2024 Financial year income objective will be building on the café, and hire of space within Bourne Hall.</li> <li>Within the Community Wellbeing Centre we will report back the initiative of higher needs.</li> <li>The Playhouse will be focusing on the ice cream, snacks and beverage revenue offering after the renovation works have been completed.</li> </ul> | 21-Aug-2024 |
| AP24/5.19 | Environment Committee; Place Development Service                 | Deliver Climate Change Strategy objectives.                        | <ul style="list-style-type: none"> <li>Deliver the 2024-2025 objectives.</li> </ul>   | 31-Mar-2025          |  | <ul style="list-style-type: none"> <li>Secured recent external funding</li> <li>Fleet replacement to electric (3 vehicles) complete</li> </ul>   | 08-Aug-2024 |
| AP24/5.20 | Environment Committee; Operational Services                      | Pet crematorium and memorial garden, feasibility and business case | <ul style="list-style-type: none"> <li>A feasibility report and business case for providing a pet crematorium and memorial garden in the Borough</li> <li>Report submitted to S&amp;R Committee for consideration.</li> </ul> | 31-Oct-2024          |  | There are now some legalities that need to be checked out by our legal team. It has been agreed by SLT that this project will go from Environment Committee to Strategy & Resources (S&R) Committee. A report will be submitted to S & R in January 2025.  | 21-Aug-2024 |

| No        | Committee & Relevant Service                   | Key Deliverables   | Target  | Dates/Key Milestones | RAG Status | Commentary  | Updated     |
|-----------|--|--|---|----------------------|------------|---|-------------|
| AP24/5.21 | Environment Committee;<br>Operational Services | Monitor and respond to developments in Government Waste Strategy | <ul style="list-style-type: none"> <li>Briefings provided to Environment Committee on any forthcoming developments or opportunities.</li> </ul> | 31-Mar-2025          | ●          | <ul style="list-style-type: none"> <li>Estimated as 75% due to fragile nature of Defra timescales.</li> <li>Defra announced 'Simpler Recycling' in October 2023, which replaced its previously-proposed 'Consistency of Collections' strategy that was scrapped after public consultations. This essentially gives a green light to the Council to keep our current service structure should we wish to. However, Defra has still not published the outcome of its public consultation in November 2023, to which the Council responded: key questions for us were timescales, payment processes and the need to ensure recyclability of the new materials that we will eventually be obligated to collect (cartons, foil, plastic films).</li> <li>The Council appealed Defra's capital payment of £108k for food waste recycling (to provide a vehicle and bins for food waste recycling at flatted properties still to be provided with food waste recycling – currently we have c.1,500 flatted households still to be provided for), which we consider is insufficient. Defra has said that it will be providing 'resource funding' for the revenue costs of this move, but has not yet advised how much will be paid, or when.</li> <li>Transport &amp; Waste Services Manager attended a seminar on EPR (packaging producers paying councils to collect packaging waste) in May. We thought this would announce details of how EPR would work, and when, but in fact it was asking us how we would like it to work, and announcing that the EPR Scheme Administrator would be in place by the end of 2024. This suggests that Defra's current launch date of 1/4/25 for EPR payments is in doubt.</li> </ul> | 13-Aug-2024 |



| No | Committee & Relevant Service | Key Deliverables | Target | Dates/Key Milestones | RAG Status | Commentary | Updated |
|----|------------------------------|------------------|--------|----------------------|------------|------------|---------|
|----|------------------------------|------------------|--------|----------------------|------------|------------|---------|

|         |                  |   |  |  |             |   |  |             |
|---------|------------------|---|--|--|-------------|---|--|-------------|
| Page 52 | <b>AP24/5.22</b> | Environment Committee; Operational Services                 | Develop cemetery lease renewals policy               | <ul style="list-style-type: none"> <li>• Draft policy submitted to the Strategic Leadership Team and</li> <li>• Agreed at Environment Committee by "Completion Date".</li> </ul> | 30-Nov-2024 |    | The service is currently extracting the data from the cemetery database system to inform the drafting of the cemetery lease renewal policy. Once this has been completed, the draft policy will be submitted to SLT and then the Environment Committee.          | 21-Aug-2024 |
|         | <b>AP24/5.23</b> | Crime & Disorder Committee; Housing and Communities Service | Adopt and deliver the Community Safety Action Plan   | <ul style="list-style-type: none"> <li>• In year objectives delivered.</li> </ul>  | 31-Mar-2025 |    | consulted and adopted January 2024. Plan runs for 2 years so saying 50% achieved with expectation of 100% by end 2025.   | 21-Aug-2024 |
|         | <b>AP24/5.24</b> | Crime & Disorder Committee; Housing and Communities Service | Progress actions from the CSP review recommendations | <ul style="list-style-type: none"> <li>• Outstanding objectives delivered or funding bids sought</li> </ul>  | 31-Mar-2025 |  | The more demanding recommendations around increasing the numbers and scope of meetings and of the provision for a dedicated coordinator cannot be delivered without increasing resource as exploration with partners around joint funding has not been fruitful. | 11-Sep-2024 |






# Summary of Key Performance Indicators

| PI Status   |           | Long Term Trends  |               | Short Term Trends   |               |
|---|-----------|---|---------------|---|---------------|
|  | Alert     |  | Improving     |  | Improving     |
|  | Warning   |  | No Change     |  | No Change     |
|  | OK        |  | Getting Worse |  | Getting Worse |
|  | Unknown   |   |               |   |               |
|  | Data Only |   |               |   |               |

## Community & Wellbeing Committee





| Key Performance Indicator                                 | Status  |
|---|---|
| Number of Households Living in Nightly Paid Accommodation |  |
| Number of Successful Preventions From Homelessness        |  |

## Environment Committee














| Key Performance Indicator   | Status  |
|---|---|
| Car Park Visitor Numbers  |  |
| Car Park Revenue (£k)   |  |
| Parking Penalty Charge Notice Appeals Responded to in 10 Working Days |  |
| Waste Collected   |  |
| Waste Sent for Recycling  |  |

Agenda Item 6  
Appendix 1

## Licensing & Planning Policy Committee

| Key Performance Indicator   | Status  |
|---|---|
| Major Planning Applications Decided in Time   |  |
| Minor Planning Applications Decided in Time   |  |
| Other Planning Applications Decided in Time   |  |
| Planning Appeals Against the Council's Refusal of Planning Dismissed by the Inspector |  |

## Strategy & Resources Committee

| Key Performance Indicator                                 | Status  |
|---|---|
| Council Tax Collected                                     |    |
| Non Domestic Rates Collected                              |    |
| Forecast Outturn vs Budget (£m)                           |    |
| Income from Treasury Management Investment (£k)           |    |
| Number of Stage 1 Complaints Received                     |    |
| Number of Stage 2 Complaints Received                     |   |
| Average Time Taken (days) to Process Stage One Complaints |  |
| Average Time Taken to Process Stage Two Complaints        |  |
| Average Number of Days of Staff Sickness                  |  |
| Short-term Staff Sickness                                 |  |
| Council Owned Vacant Property Rate (%)                    |  |
| Completion Rates for ALL Property Maintenance Works       |  |
| Completion Rate for PRIORITY 1 Property Maintenance Works |  |



# Corporate Key Performance Indicator Charts

| Traffic Light |    |
|---------------|----|
| Red           | 1  |
| Amber         | 2  |
| Green         | 17 |
| Data Only     | 4  |

## Community & Wellbeing Committee

### Number of Households Living in Nightly Paid Accommodation



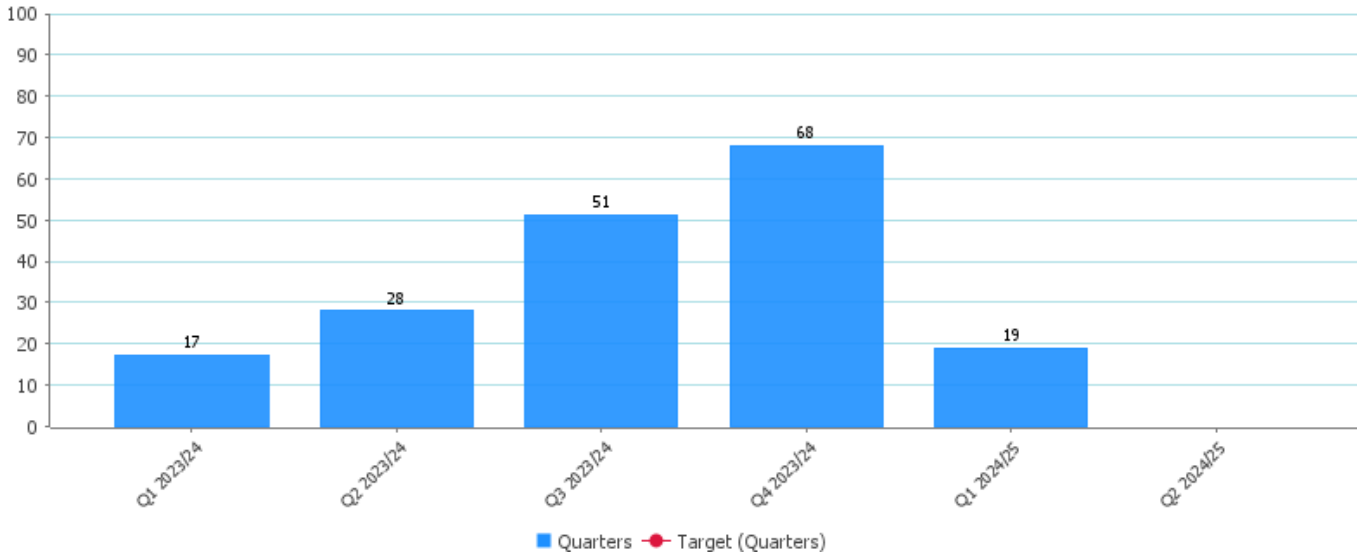
23-Aug-2024

As in previous quarters Homeless pressures continue to rise and this has impacted on the number of households in NPA. Waiting on confirmation of the target for this KPI for 2024/2025.

### Number of Successful Preventions From Homelessness

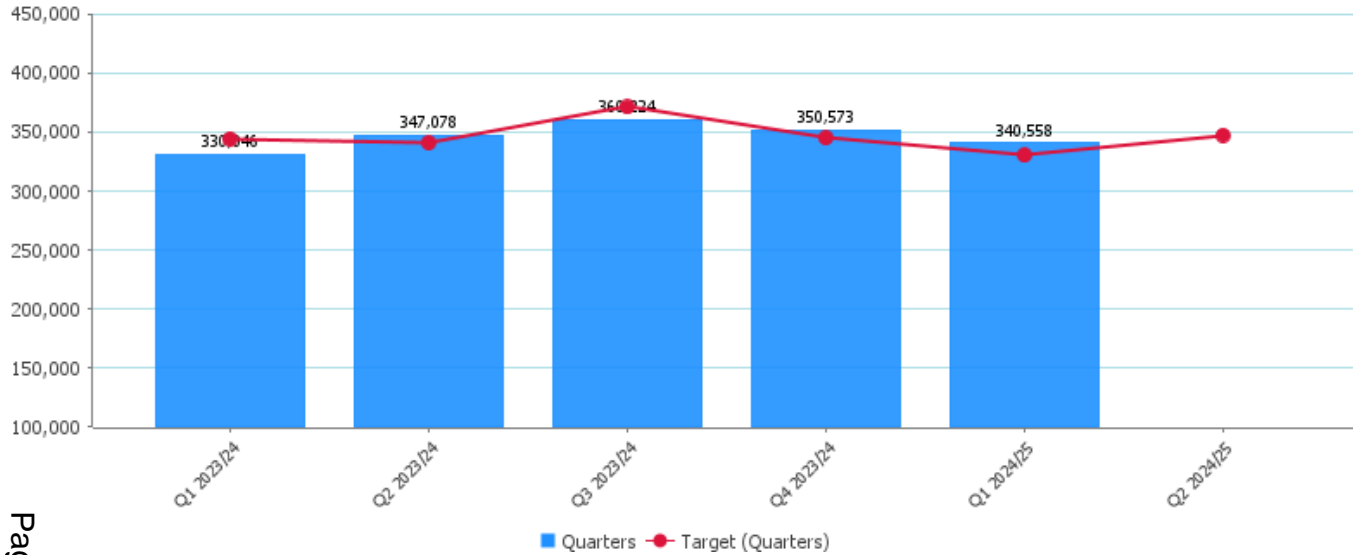
14-Aug-2024





In addition to the number of homeless applications that have been prevention/relieved the Housing Services team have also had a further 68 successful advice and assistance interventions at the pre duty initial approach stage.

Car Park Visitor Numbers

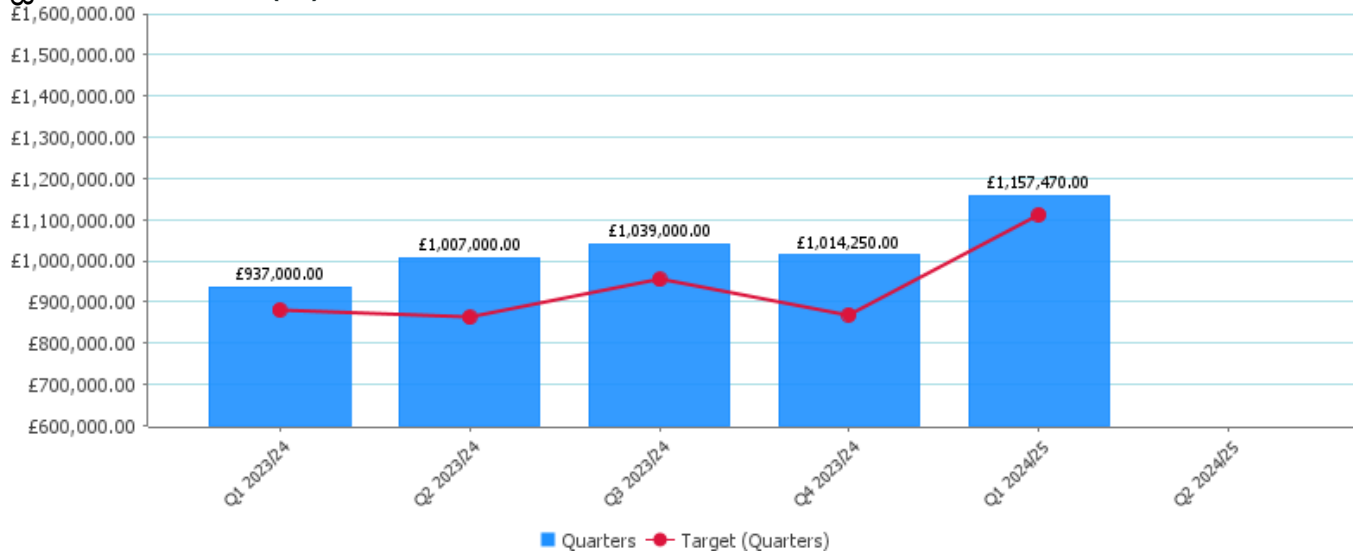


11-Sep-2024

Visitor numbers have increased from same period last year

Page 88

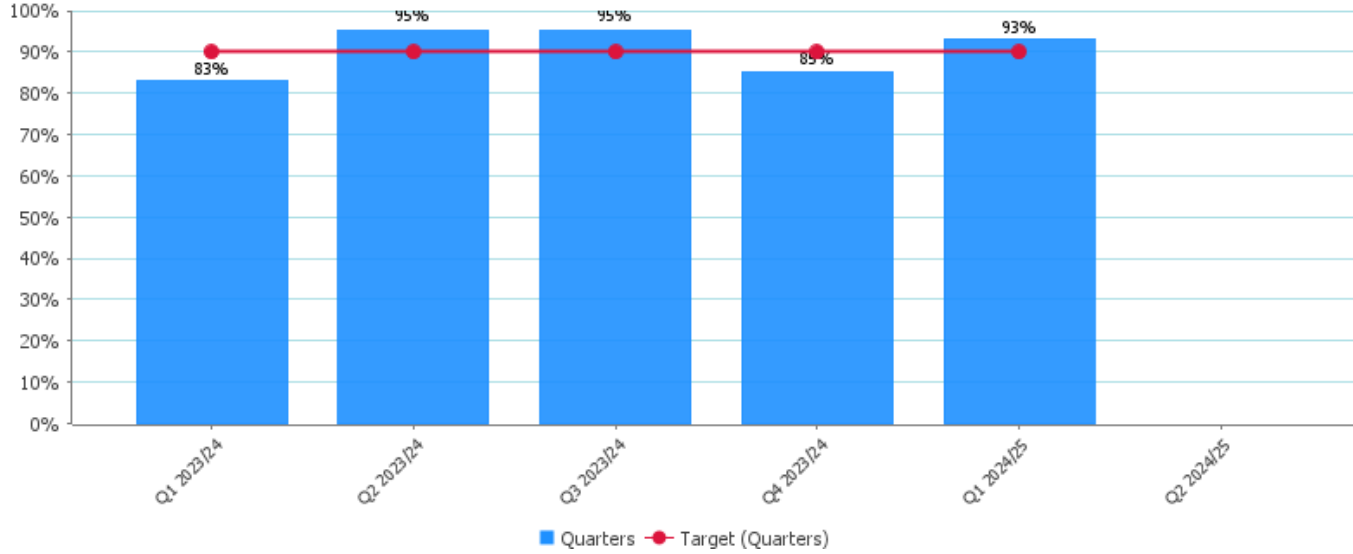
Car Park Revenue (£k)



14-Aug-2024

Targets now amended to reflect comparison against budget targets rather than the kpi target method used last year.

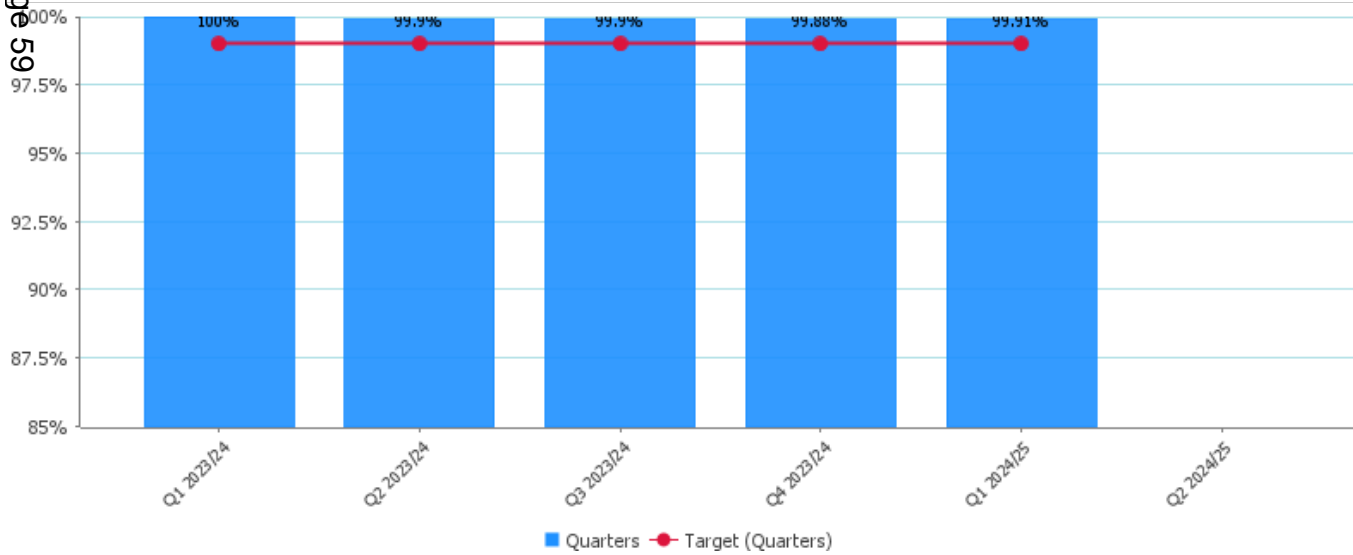
**Parking Penalty Charge Notice Appeals Responded to in 10 Working Days**



23-Aug-2024

Appeal numbers have been fairly consistent, some fluctuation due to RingGo outages. All appeals responded to within statutory timescales, any that did not meet 10 working days were due to additional information being needed from colleagues in the Parking Office. Annual leave and other external factors may have slowed down the response on these.

**Waste Collected**

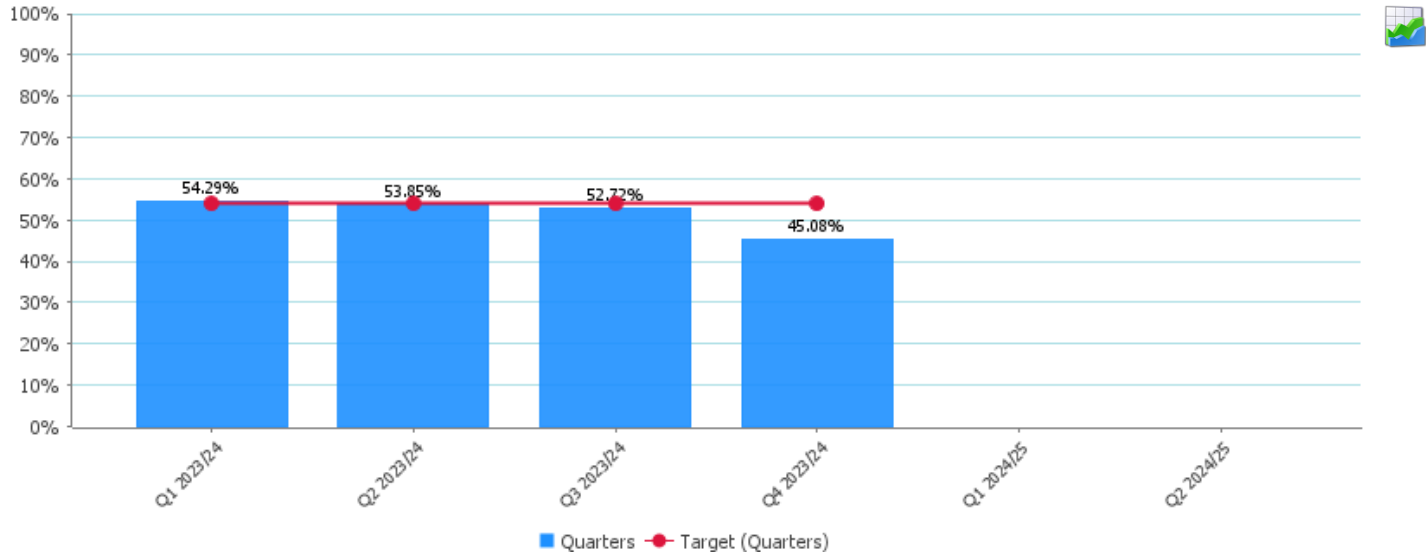


13-Aug-2024

Target is 99% of waste containers (bins, boxes, caddies) collected on time.

**Waste Sent for Recycling**

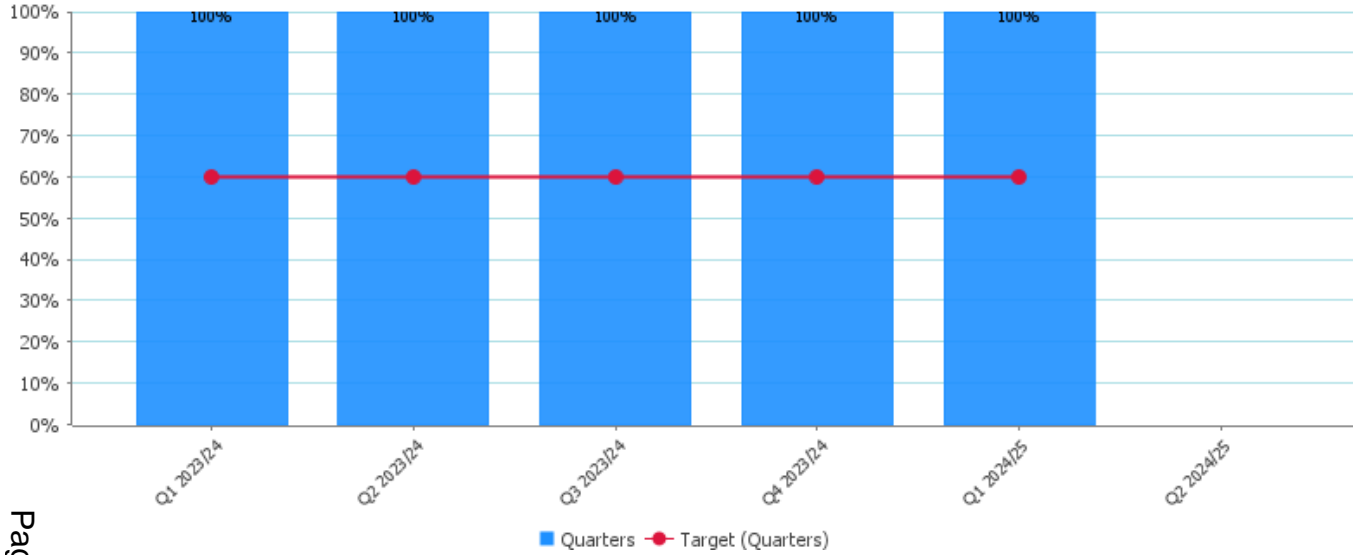
22-Aug-2024



Q4 is a 2.27% improvement on the same period last year. The reason for the improvement is largely due to garden waste, which was up by 13% due to better growing condition conditions (it was warmer much deeper into the winter last year, promoting growth).

Q1 figures are not yet available due to general time-lag of receiving confirmed tonnage figures from SCC/SEP data system. Figures will be updated ASAP.

Major Planning Applications Decided in Time

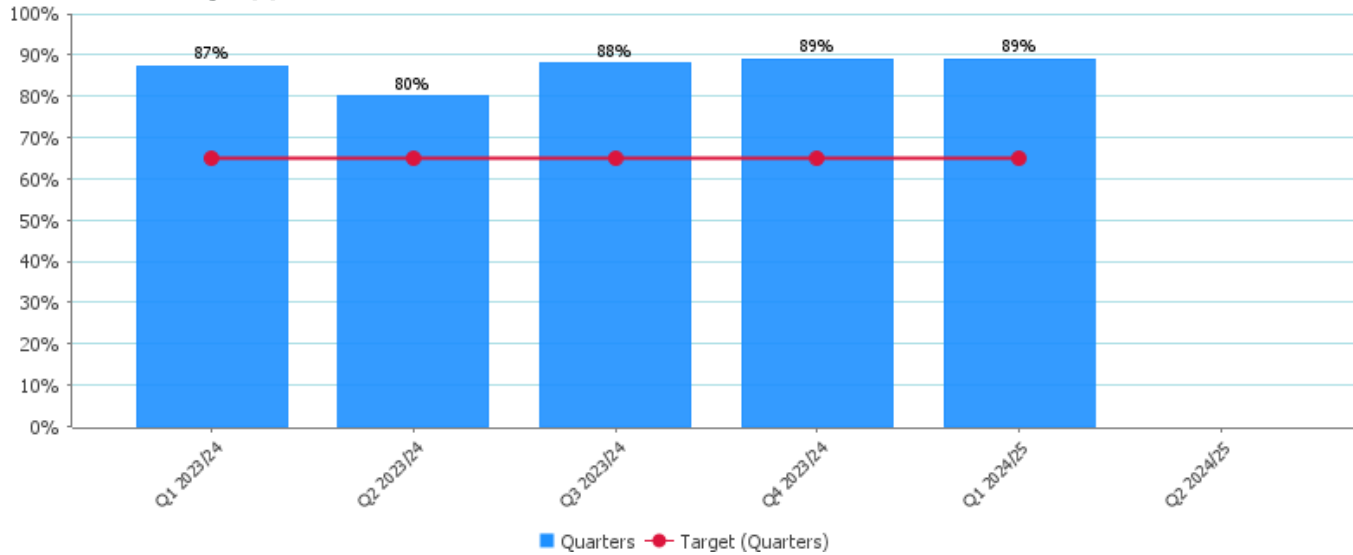


31-Jul-2024

Performance remains strong. A number of improvement actions have been implemented.

Page 11

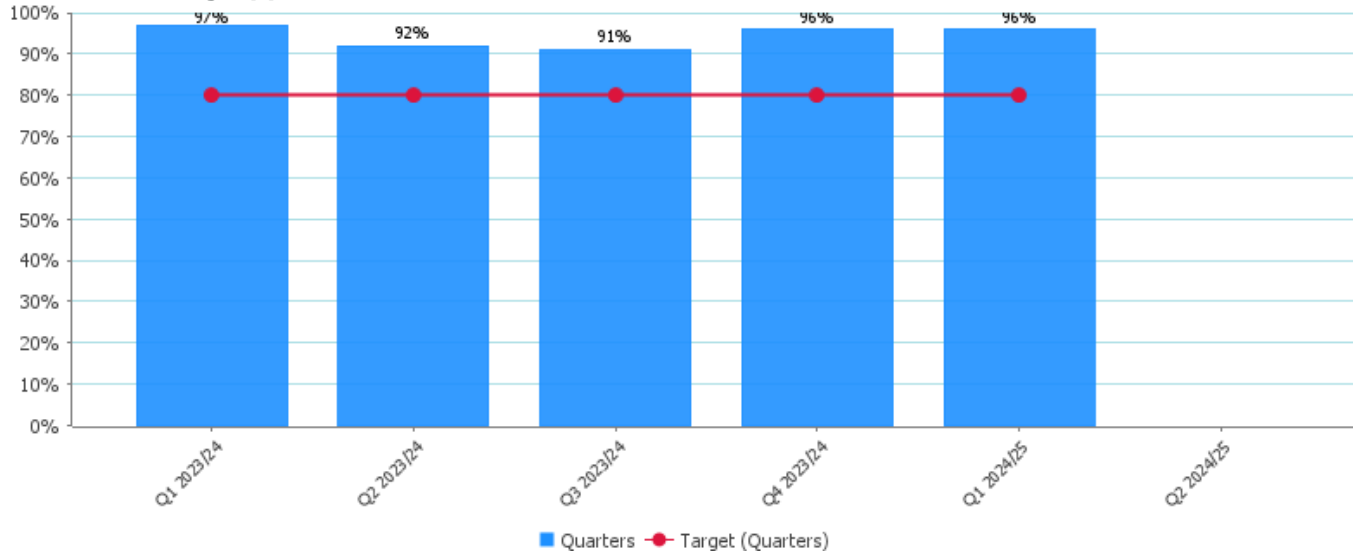
Minor Planning Applications Decided in Time



31-Jul-2024

Performance remains strong. A number of improvement actions have been implemented.

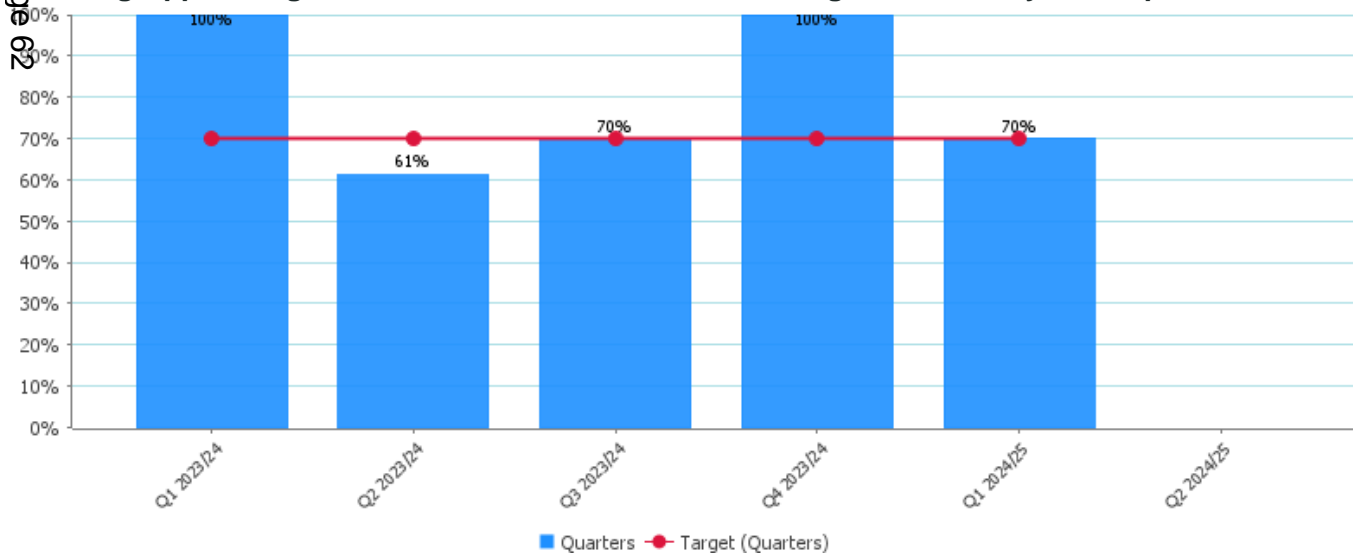
**Other Planning Applications Decided in Time**



31-Jul-2024

Performance remains strong. A number of improvement actions have been implemented.

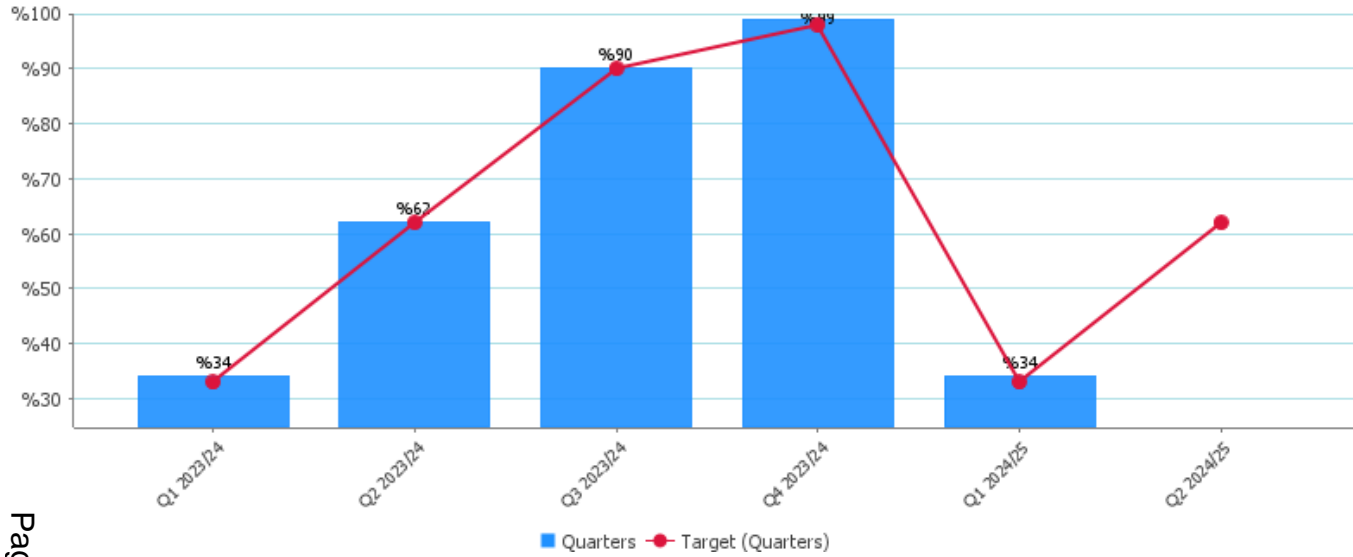
**Planning Appeals Against the Council's Refusal of Planning Dismissed by the Inspector**



31-Jul-2024

Average appeal performance remains strong, although the small number of appeals per Quarter (10 this Quarter) means a small number of decisions can impact the overall percentage.

**Council Tax Collected**

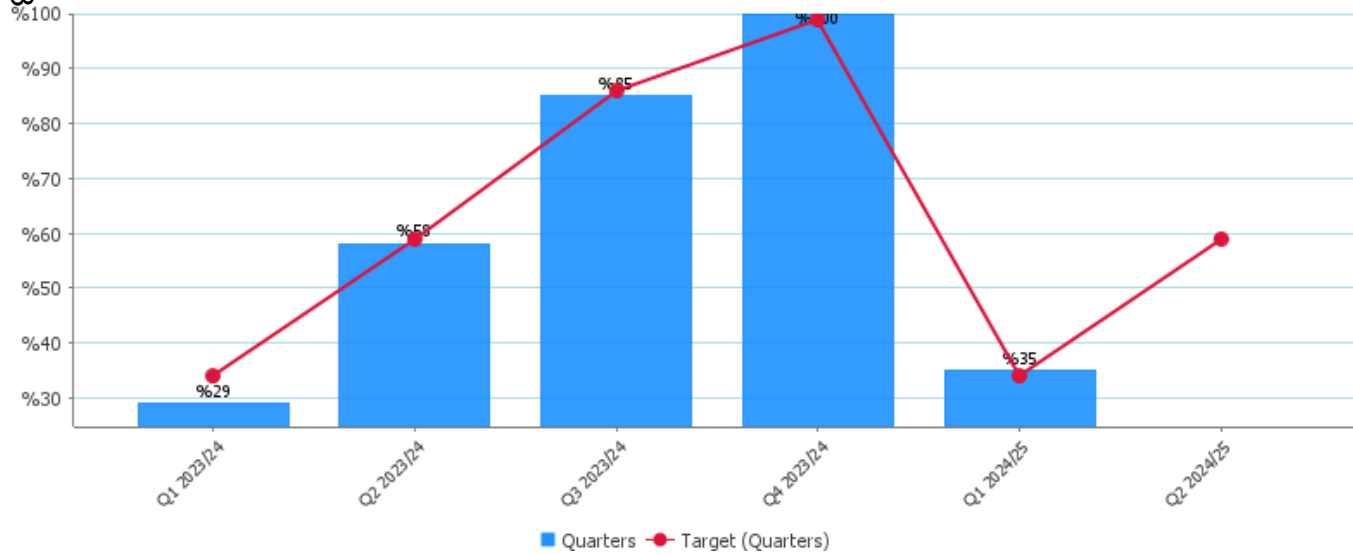


09-Aug-2024

1. Above profile Target of 33%

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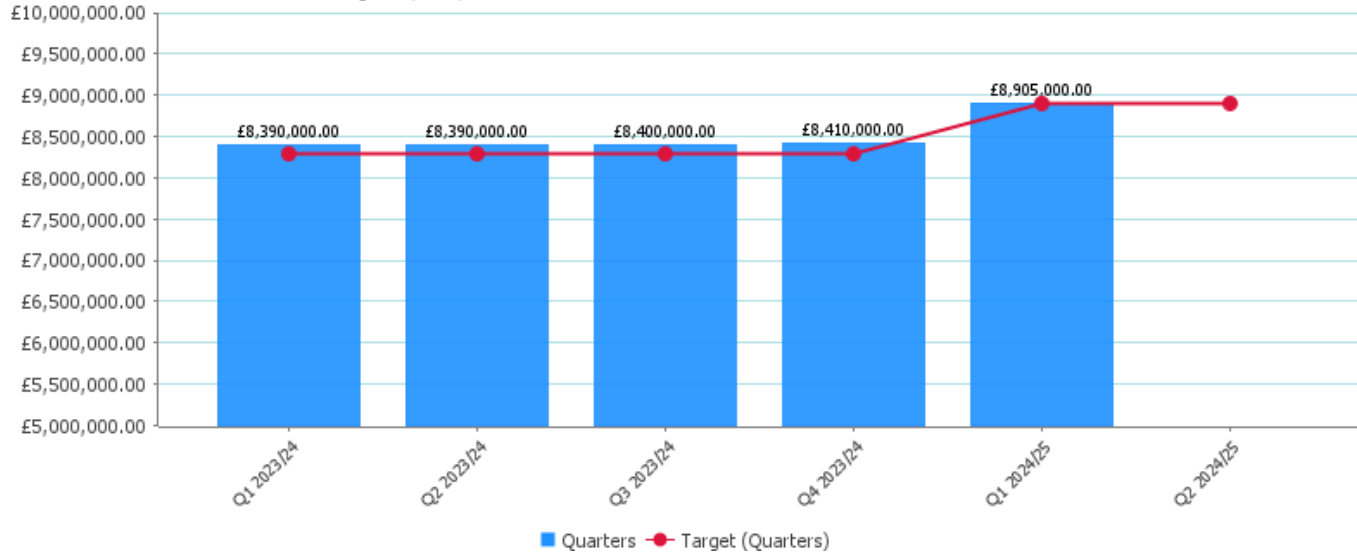
**Non Domestic Rates Collected**



09-Aug-2024

1. above profile target of 33.6%

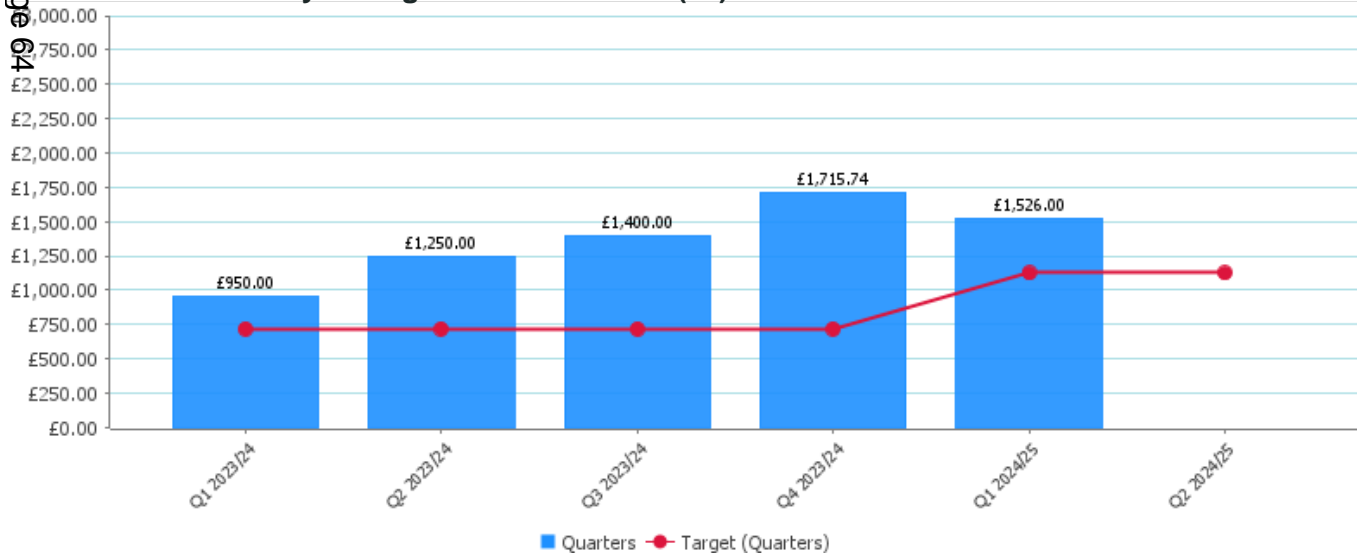
### Forecast Outturn vs Budget (£m)



19-Aug-2024

Currently forecast on budget, but this will be updated and superseded by the Q1 budget monitoring report to Audit & Scrutiny Committee in September 2024.

### Income from Treasury Management Investment (£k)



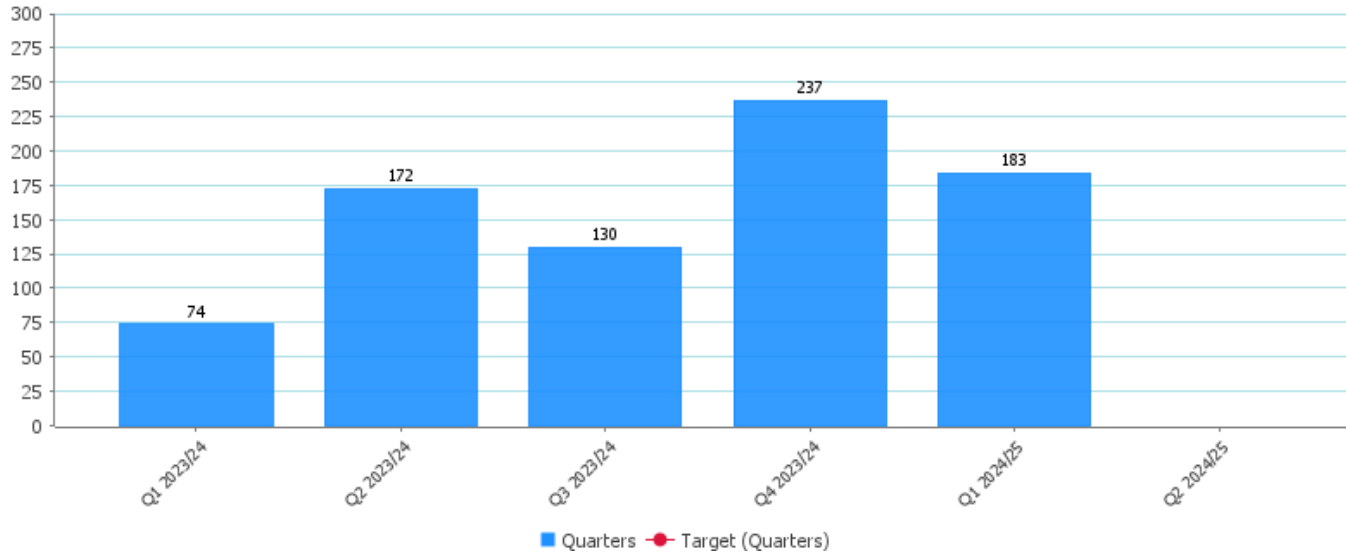
19-Aug-2024

Target achieved for Q1.

### Number of Stage 1 Complaints Received

02-Sep-2024





There has been a significant decrease in the number of stage 1 complaints received since last quarter, showing that the comments/complaints change implemented has settled.

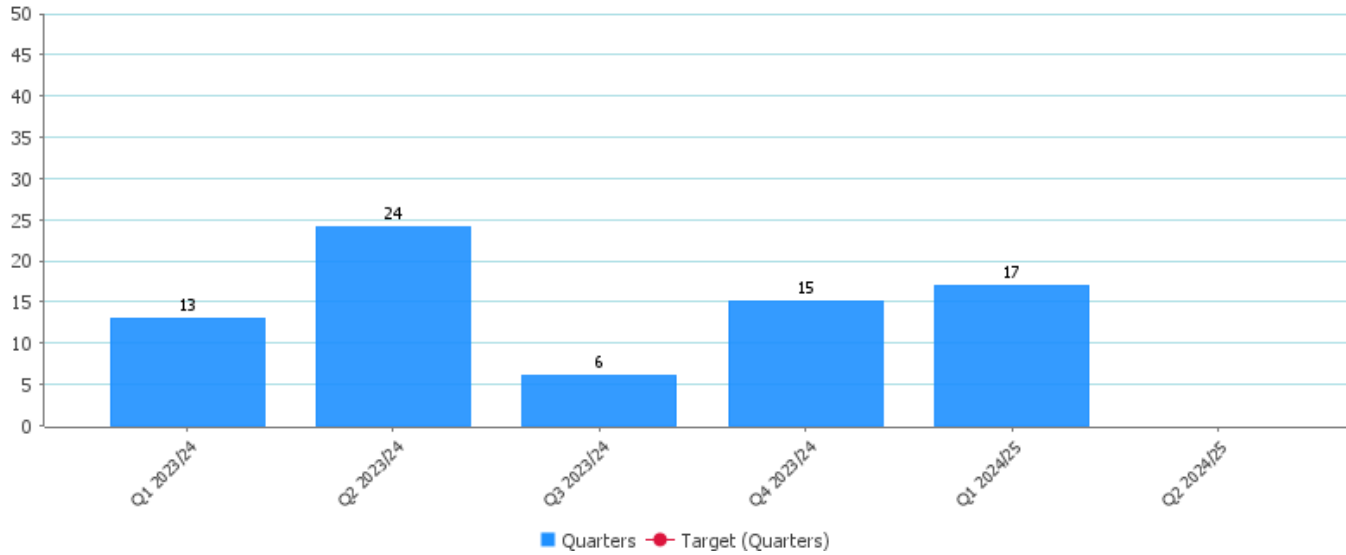
There has been a rise in the number of Planning complaints due to a particular Planning Committee meeting held about Hobbledown. Many of these also went to stage 2.

We also received an influx of stage 1 complaints about the rise in Car Park charges following the Fees & Charges update after April 2024, and the fact that the tennis courts across the borough are now chargeable and require an access code for entry. Other than this, the majority were from residents unhappy with the Refuse and Recycling service, complaining about missed bins and the set back of their bins.

We have also implemented more of the Complaints project following the audit, and have moved complaints off CRM completely. We now use spreadsheets and the complaints mailbox to monitor, chase, and close complaints.

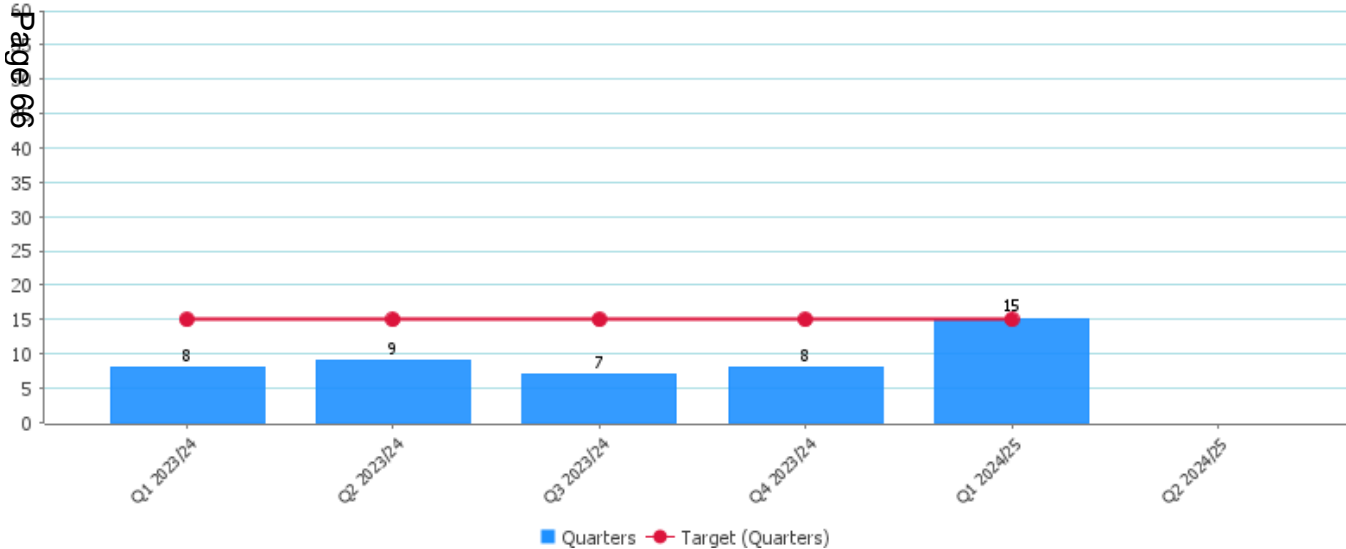
02-Sep-2024

**Number of Stage 2 Complaints Received**



There is a slightly higher amount of Stage 2 complaints due to complaints received about a planning committee meeting that all then went to stage 2. These make up 11 of the Stage 2 complaints for this quarter.

### Average Time Taken (days) to Process Stage One Complaints

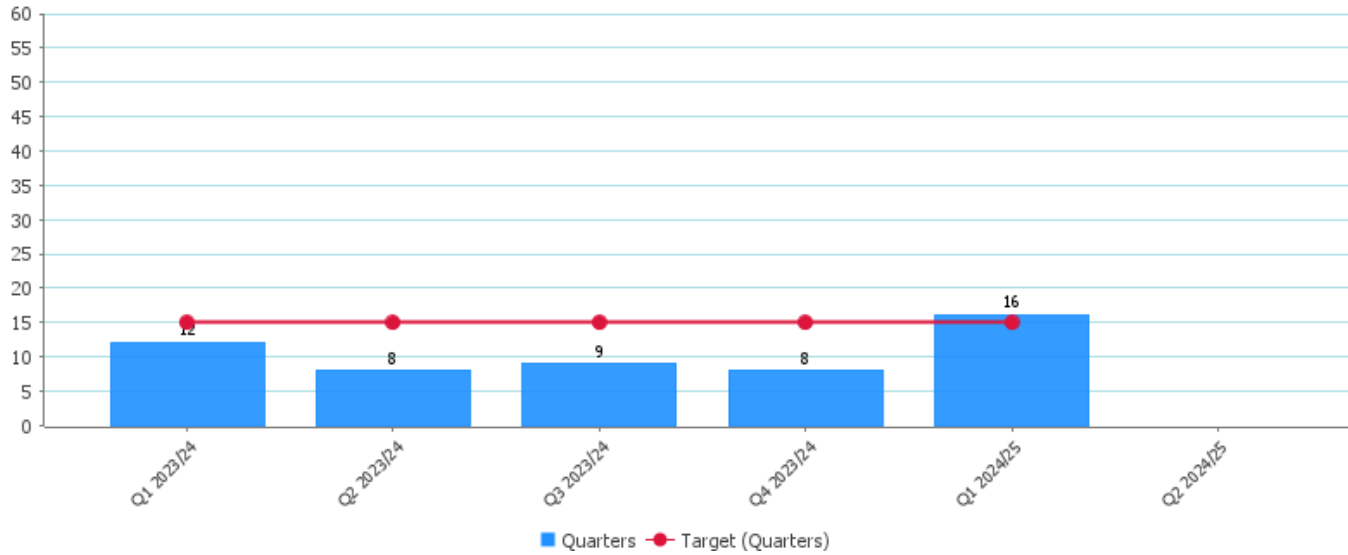


09-Aug-2024

From the 183 stage 1 complaints received, the average completion time was 15 days. This is right on target. However, the response for 22 planning complaints was 48 days each, pushing the average up.

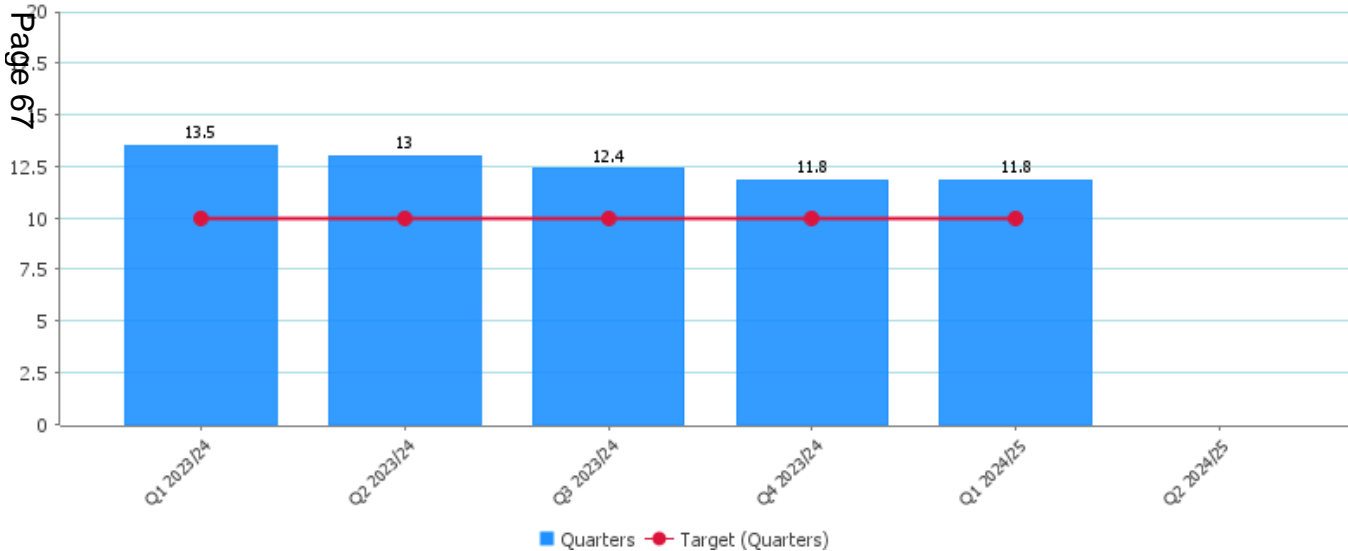
### Average Time Taken to Process Stage Two Complaints

16-Aug-2024



The average time for stage 2 complaint responses in this quarter was 16 days. This was a real mix of Waste Services, Housing, Environmental Health, and Car Parks.

### Average Number of Days of Staff Sickiness

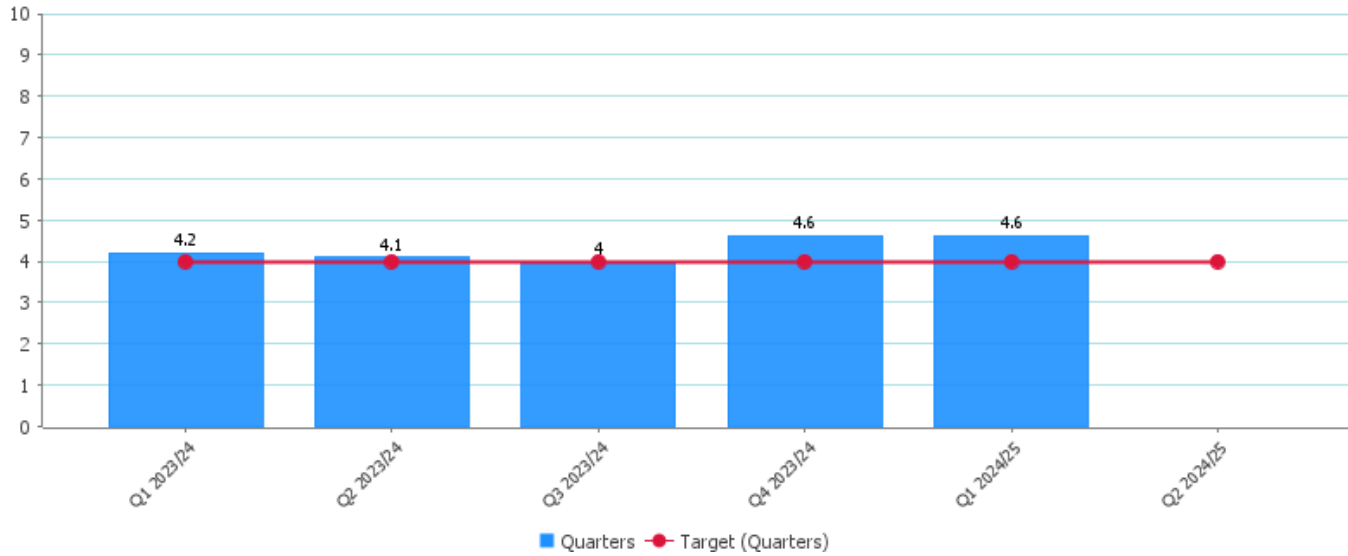


09-Aug-2024

Q1 figure remains at 11.8 and still above our target of 10. The latest ONS data from 2022 indicates an average of 5.7 days lost per employee. Recent surveys by CIPD and IPPR suggest an increase in this figure, with CIPD reporting 7.8 days and IPPR 6.7 days lost per employee.

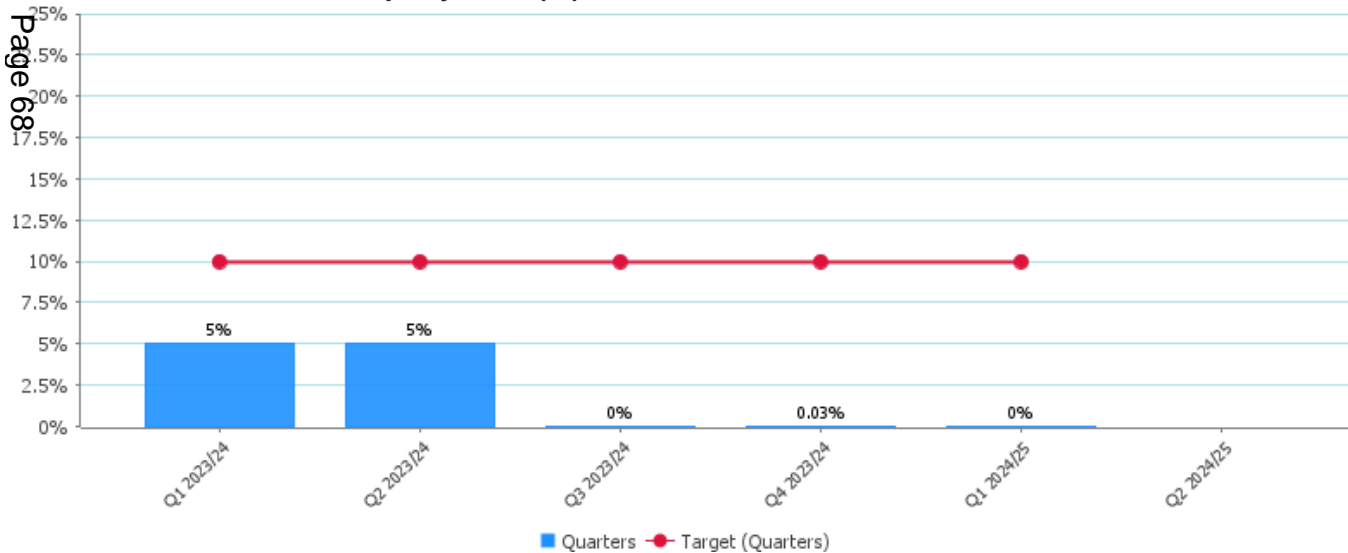
### Short-term Staff Sickiness

16-Aug-2024



Q1 figure remains at 4.6 which is above our target of 4. Managers are being supported to use our Absence Management Procedure.

### Council Owned Vacant Property Rate (%)

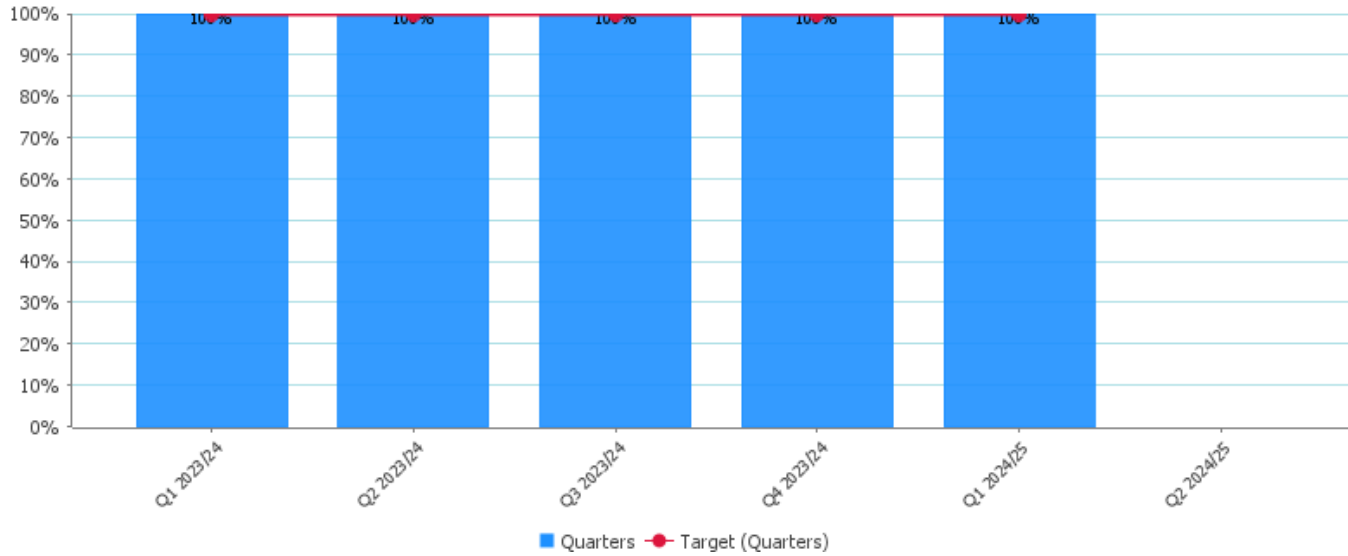


22-Aug-2024

No vacant properties in Q1, although we're expecting a change in Q2 related to East Street.

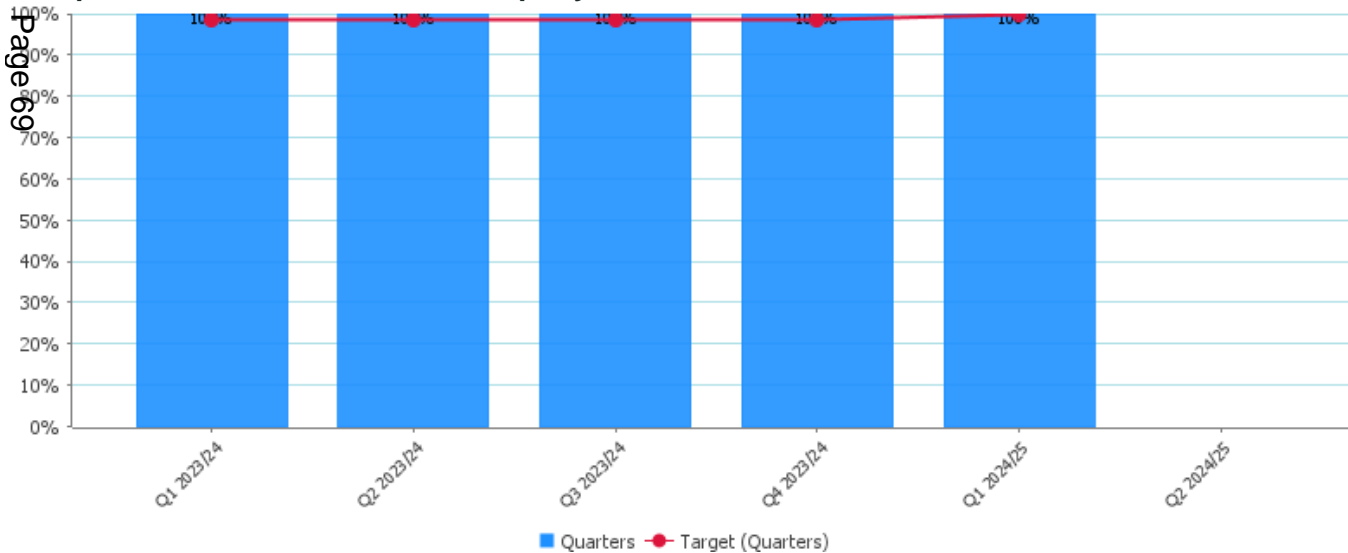
### Completion Rates for ALL Property Maintenance Works

08-Aug-2024



All works have been attended, rectified and completed with score of 100% every month in the Q1

### Completion Rate for PRIORITY 1 Property Maintenance Works



08-Aug-2024

All Priority 1 Property Maintenance Works have been attended, rectified and completed with 100% score every month in Q1

# Corporate Risk Register

Our corporate risk register contains our most strategic risks, those that may have a significantly detrimental effect on our ability to achieve our key objectives and delivery of core services. We assess our risks as follows:

**Step 1:** Score the **inherent** risk using the matrix below = the expected **impact** of the risk **multiplied** by the **likelihood** of the risk occurring (with no mitigations or controls).

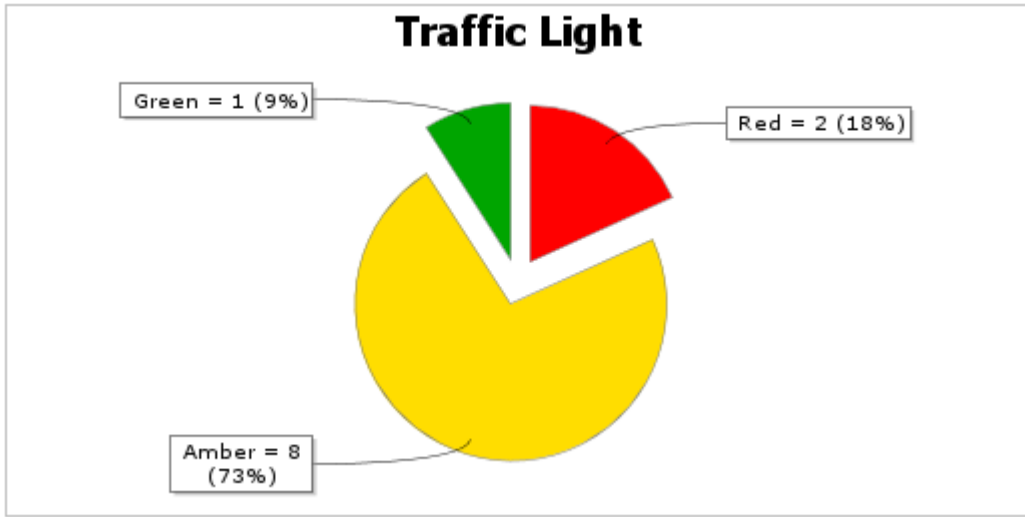
**Step 2:** Consider how we mitigate the risk and any controls in place.

**Step 3:** Score the **residual** risk = impact x likelihood (taking into account the controls and mitigations we have in place).

**Step 4:** Review final risk score against the **risk tolerance boundary** (yellow line). If High (red), seek to further mitigate the risk to reduce it to Medium (amber) or Low (green); or acknowledge why it cannot be lowered at this time.

|                          |                  |                    |             |           |             |
|--------------------------|------------------|--------------------|-------------|-----------|-------------|
| Likelihood<br>Multiplier | 4<br>Very likely | 4                  | 8           | 12        | 16          |
|                          | 3<br>Likely      | 3                  | 6           | 9         | 12          |
|                          | 2<br>Possible    | 2                  | 4           | 6         | 8           |
|                          | 1<br>Remote      | 1                  | 2           | 3         | 4           |
|                          |                  | 1<br>Insignificant | 2<br>Medium | 3<br>High | 4<br>Severe |
|                          |                  | <b>Impact</b>      |             |           |             |



|        |                         |
|--------|-------------------------|
| Red    | High risks              |
| Amber  | Medium risks            |
| Green  | Low risks               |
| Yellow | Risk tolerance boundary |





| Page          | Title   | Potential Effect  | L | I | Inherent Risk | Controls                       | L | I | Residual Risk | DoT | Approach | Commentary / Future Actions  | Updated     |
|---------------|---|---|---|---|---------------|--------------------------------|---|---|---------------|-----|----------|--|-------------|
| Page 71<br>C9 | Risk of homelessness expenditure exceeding budget provision | <ul style="list-style-type: none"> <li>• Unable to meet statutory duties.</li> <li>• Pressure to increase spending on accommodation in locations further outside of Borough.</li> <li>• Need to source funding from outside current budget and knock-on reductions to other budgets.</li> <li>• Potential damage to reputation</li> </ul> | 4 | 4 | 16            | Fraud team investigation       | 4 | 4 | 16            | -   | Treat    | <ul style="list-style-type: none"> <li>• Homelessness Action Plan added to controls following CLT 5 June 2024.</li> <li>• Successfully recruited apprentice April 2024.</li> <li>• Homelessness and TA audit undertaken Q4 with 'reasonable' rating.</li> <li>• End-year report to C&amp;W Committee due July 2024.</li> </ul> | 07-Aug-2024 |
|               |   |   |   |   |               | Additional staff               |   |   |               |     |          |  |             |
|               |   |   |   |   |               | Working Group                  |   |   |               |     |          |  |             |
|               |   |   |   |   |               | Strategy in place              |   |   |               |     |          |  |             |
|               |   |   |   |   |               | Housing First funding in place |   |   |               |     |          |  |             |
|               |   |   |   |   |               | Additional Government Funding  |   |   |               |     |          |  |             |
|               |   |   |   |   |               | Homelessness Action Plan       |   |   |               |     |          |  |             |


|      |  |   |   |   |    |                               |   |   |    |  |       |   |             |
|------|--|---|---|---|----|-------------------------------|---|---|----|--|-------|---|-------------|
| IT6  | Failure or interruption to IT services         | <ul style="list-style-type: none"> <li>• Damage caused by successful cyber-attack.</li> <li>• Loss of data.</li> <li>• Service delays.</li> <li>• Reputational damage.</li> <li>• Staff satisfaction.</li> </ul>                        | 4 | 4 | 16 | Business Continuity Plan      | 3 | 4 | 12 |  | Treat | <ul style="list-style-type: none"> <li>• Works progress around enhancing the network and hardening servers and systems from compromise.</li> <li>• The risk will remain high until some of the older parts of the infrastructure are removed later this year.</li> </ul>  | 16-Sep-2024 |
|      |  |   |   |   |    | IT Strategy                   |   |   |    |  |       |   |             |
|      |  |   |   |   |    | IT processes and procedures   |   |   |    |  |       |   |             |
| EO13 | Town Hall Move                                 | <ul style="list-style-type: none"> <li>• Wasted resources used to progress the project.</li> <li>• Reputational damage.</li> <li>• Negative staff moral.</li> <li>• Unable to achieve cost savings associated with the move.</li> </ul> | 4 | 4 | 16 | Internal Audit                | 3 | 3 | 9  |  | Treat | <ul style="list-style-type: none"> <li>• Updated following CLT 5 June 2024: • Moved to Corporate from S&amp;R register.</li> <li>• Added further mitigations/controls • Moveworks expertise.</li> <li>• Steering Group created.</li> <li>• Procurement process adopted.</li> <li>• Business Case created.</li> <li>• Project Plan in place.</li> <li>• Future SIAP Audit planned.</li> </ul>  | 30-Aug-2024 |
|      |  |   |   |   |    | Full Council Approval         |   |   |    |  |       |   |             |
|      |  |   |   |   |    | Appoint external consultant   |   |   |    |  |       |   |             |
|      |  |   |   |   |    | Corporate Procurement process |   |   |    |  |       |   |             |
|      |  |   |   |   |    | Steering Group appointed      |   |   |    |  |       |   |             |
|      |  |   |   |   |    | Business case                 |   |   |    |  |       |   |             |
| C1   | Failure to deliver the climate change strategy | <ul style="list-style-type: none"> <li>• Unable to deliver the Council's climate change objectives.</li> <li>• Fail to reduce the Council's carbon emissions.</li> <li>• Damage to reputation.</li> </ul>                               | 4 | 4 | 16 | Budget                        | 3 | 3 | 9  |  | Treat | <ul style="list-style-type: none"> <li>• New plan for 2025 to be prepared and agreed by Committee Chair and Working Group.</li> <li>• Linked to risk OS21 'fleet emissions' managed by E Committee. Fleet carbon emissions will contribute to delivering our climate strategy and currently account for approx. 29% of our total carbon emissions and the proportion is likely to grow as we reduce emissions elsewhere eg in our buildings.</li> </ul> | 30-Aug-2024 |
|      |  |   |   |   |    | Additional staff              |   |   |    |  |       |   |             |
|      |  |   |   |   |    | Working Group                 |   |   |    |  |       |   |             |
|      |  |   |   |   |    | Climate Change Action Plan    |   |   |    |  |       |   |             |
|      |  |   |   |   |    | Member Working Group          |   |   |    |  |       |   |             |



|                                       |                                   |  |   |   |    |                                   |   |   |   |   |       |  |             |
|---------------------------------------|-----------------------------------|--|---|---|----|-----------------------------------|---|---|---|---|-------|--|-------------|
| PD14                                  | Failing to deliver a local plan   | <ul style="list-style-type: none"> <li>• Unable to provide robust planning policy for development in the Borough.</li> <li>• Impact on other council activities that link to the local plan, e.g. housing.</li> <li>• Unable to demonstrate value for money on investment in developing the plan.</li> <li>• Government intervention.</li> </ul> | 4 | 4 | 16 | Budget                            | 3 | 3 | 9 |  | Treat | <ul style="list-style-type: none"> <li>• Considering additional controls likelihood lowered to 3.</li> <li>• Workshops in relation to spatial strategy held during Nov and Dec 2023, further planned for coming months.</li> </ul> | 04-Sep-2024 |
|                                       |                                   |  |   |   |    | Local Plan Risk Register          |   |   |   |   |       |  |             |
|                                       |                                   |  |   |   |    | Report to Stakeholders            |   |   |   |   |       |  |             |
|                                       |                                   |  |   |   |    | Member briefing                   |   |   |   |   |       |  |             |
|                                       |                                   |  |   |   |    | Project Critical Path Established |   |   |   |   |       |  |             |
|                                       |                                   |  |   |   |    | Project Plan                      |   |   |   |   |       |  |             |
|                                       |                                   |  |   |   |    | Full staffing in place            |   |   |   |   |       |  |             |
|                                       |                                   |  |   |   |    | Partners fully engaged            |   |   |   |   |       |  |             |
| Political support to fund and deliver |                                   |  |   |   |    |                                   |   |   |   |   |       |  |             |
| EO5                                   | Failure in key statutory services | <ul style="list-style-type: none"> <li>• Poor customer service.</li> <li>• Legal challenge.</li> <li>• Reputational damage.</li> </ul>   | 2 | 4 | 8  | Risk Register                     | 2 | 4 | 8 |  | Treat | <ul style="list-style-type: none"> <li>• Added to Corporate Risk Register for 2024/5 Q1.</li> <li>• Current risk assessment under review by SLT.</li> </ul>  | 30-Aug-2024 |
|                                       |                                   |  |   |   |    | Performance Monitoring            |   |   |   |   |       |  |             |
|                                       |                                   |  |   |   |    | Risk Management Strategy          |   |   |   |   |       |  |             |
|                                       |                                   |  |   |   |    | Budget Monitoring                 |   |   |   |   |       |  |             |
|                                       |                                   |  |   |   |    | Annual Budget Setting             |   |   |   |   |       |  |             |
|                                       |                                   |  |   |   |    | Governance Framework              |   |   |   |   |       |  |             |
|                                       |                                   |  |   |   |    | Performance Benchmarking          |   |   |   |   |       |  |             |

|     |   |  |   |   |    |                                      |   |   |   |  |       |  |             |
|-----|---|--|---|---|----|--------------------------------------|---|---|---|--|-------|--|-------------|
| F2  | Failure to balance the budget annually & MTFS                                       | <ul style="list-style-type: none"> <li>• Fail to perform statutory duty and issue of Section 114 notice allowing potential Government intervention and potential cuts to services.</li> <li>• Reduced assurance over the Council's financial sustainability.</li> <li>• Reliance on commercial property income.</li> <li>• Significant damage to reputation.</li> <li>• Additional budget requirement for energy and EPC mitigation reduces budgets available for service delivery.</li> </ul> | 4 | 4 | 16 | Budget Monitoring                    | 2 | 4 | 8 |  | Treat | S&R Committee agreed in July 2024 a framework for setting 2025/26's budget, including a scheduled review of services to identify savings.  | 12-Aug-2024 |
|     |   |  |   |   |    | Annual Budget Setting                |   |   |   |  |       |  |             |
|     |   |  |   |   |    | Competitive Procurement of Utilities |   |   |   |  |       |  |             |
|     |   |  |   |   |    | Manage financial reserves            |   |   |   |  |       |  |             |
|     |   |  |   |   |    | Savings targets                      |   |   |   |  |       |  |             |
|     |   |  |   |   |    | Discretionary service review         |   |   |   |  |       |  |             |
|     |   |  |   |   |    | Asset review                         |   |   |   |  |       |  |             |
| HC5 | Non-compliance with safeguarding legislation, internal policies, and best practice. | <ul style="list-style-type: none"> <li>• Negative impact on resident and staff health &amp; safety.</li> <li>• Legal challenge.</li> <li>• Financial penalty.</li> <li>• Reputational damage</li> </ul>  | 4 | 4 | 16 | Staff Update                         | 2 | 4 | 8 |  | Treat | <ul style="list-style-type: none"> <li>• Impact remains high but likelihood given the controls considered to be less than 40%.</li> <li>• Adult Safeguarding audit undertaken and Child Safeguarding Audit (S11) due 2024</li> <li>• Implement staff training plan, delayed by loss of key staff.</li> <li>• Exploring additional resources funded by Refugee Funding which includes safeguarding activities.</li> </ul> | 04-Sep-2024 |
|     |   |  |   |   |    | Intranet Site (The Hub)              |   |   |   |  |       |  |             |
|     |   |  |   |   |    | Staff training                       |   |   |   |  |       |  |             |
|     |   |  |   |   |    | Safeguarding Policy                  |   |   |   |  |       |  |             |
|     |   |  |   |   |    | Knowledge sharing                    |   |   |   |  |       |  |             |
|     |   |  |   |   |    | Register of vulnerable residents     |   |   |   |  |       |  |             |
|     |   |  |   |   |    | Internal safeguarding group          |   |   |   |  |       |  |             |

|                        |  |  |   |   |    |  |   |   |   |   |       |   |             |
|------------------------|--|--|---|---|----|--|---|---|---|---|-------|---|-------------|
| PCR16                  | Failure to comply with GDPR/Data protection                              | <ul style="list-style-type: none"> <li>• Harm to, and breach of rights of, owners of the personal (inc. sensitive) data that has been breached.</li> <li>• Reputational damage</li> <li>• A range of sanctions from Information Commissioner's Office (ICO), including prosecution and unlimited fines.</li> </ul> | 4 | 4 | 16 | Internal Audit   | 2 | 4 | 8 |  | Treat | Further actions to improve involve: <ul style="list-style-type: none"> <li>• setting out a programme of work for the IGWG</li> <li>• enhancing the support from the DPO service</li> <li>• reduction of levels of storage</li> <li>• removal of autofill on emails</li> </ul> | 07-Aug-2024 |
|                        |  |  |   |   |    | eLearning  |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Data protection policies and processes                                     |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Staff training   |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Working Group  |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Information Governance Working Group                                       |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Breaches log   |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Data Protection Officer  |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Data/information management prep for building motivationalsation programme |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Email warnings and checks  |   |   |   |   |       |   |             |
| PCR13                  | Failure to successfully prevent a significant health and safety incident | <ul style="list-style-type: none"> <li>• Harm to staff, visitors, members of the public and / or contractors.</li> <li>• HSE fine.</li> <li>• Reputational damage.</li> <li>• Unable to maintain service delivery.</li> </ul>  | 2 | 4 | 8  | Staff Update   | 1 | 4 | 4 |  | Treat | No change this month. The Health & Officer continues to conduct assurance checks.   | 30-Aug-2024 |
|                        |  |  |   |   |    | Assurance Checks Undertaken  |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Health & Safety Officer  |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Health & Safety Group  |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Health & Safety Risk Register  |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Health & Safety Policies   |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Intranet Site (The Hub)  |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | Budget   |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | SLT Reporting  |   |   |   |   |       |   |             |
|                        |  |  |   |   |    | eLearning  |   |   |   |   |       |   |             |
| Performance Monitoring |  |  |   |   |    |  |   |   |   |   |       |   |             |
| Guidance Documents     |  |  |   |   |    |  |   |   |   |   |       |   |             |

|       |   |   |   |   |    |                          |   |   |   |   |          |                       |             |
|-------|---|---|---|---|----|--------------------------|---|---|---|---|----------|-----------------------|-------------|
| PCR18 | Failure to respond effectively to a major incident or civil emergency | <ul style="list-style-type: none"> <li>• Loss of business continuity.</li> <li>• Health and wellbeing of residents.</li> <li>• Reputational damage.</li> <li>• Unable to support strategic and operational / service deliver partners.</li> </ul> | 4 | 4 | 16 | Applied Resilience       | 1 | 3 | 3 |  | Tolerate | No change this month. | 03-Sep-2024 |
|       |   |   |   |   |    | Emergency Plans          |   |   |   |   |          |                       |             |
|       |   |   |   |   |    | Business Continuity Plan |   |   |   |   |          |                       |             |
|       |   |   |   |   |    | Council responders       |   |   |   |   |          |                       |             |
|       |   |   |   |   |    | Internal Audit           |   |   |   |   |          |                       |             |

## Committee Risk Registers

The following committee risk registers contain risks identified for the budget Policy Committees in accordance with our Risk Management Strategy. An overview of the individual committee risks is summarised on the next two pages. These risk registers are reviewed by the various policy committee Chairs on a regular basis.

In this register, the inherent risk score (before any mitigations or controls) and the residual risk score (with mitigations and controls in place) have been derived from using the risk matrix below. The matrix is included in the Risk Management Strategy. We assess our risks as follows:

**Step 1:** Score the **inherent** risk using the matrix below = the expected **impact** of the risk **multiplied** by the **likelihood** of the risk occurring (with no mitigations or controls).

**Step 2:** Consider how we mitigate the risk and any controls in place.

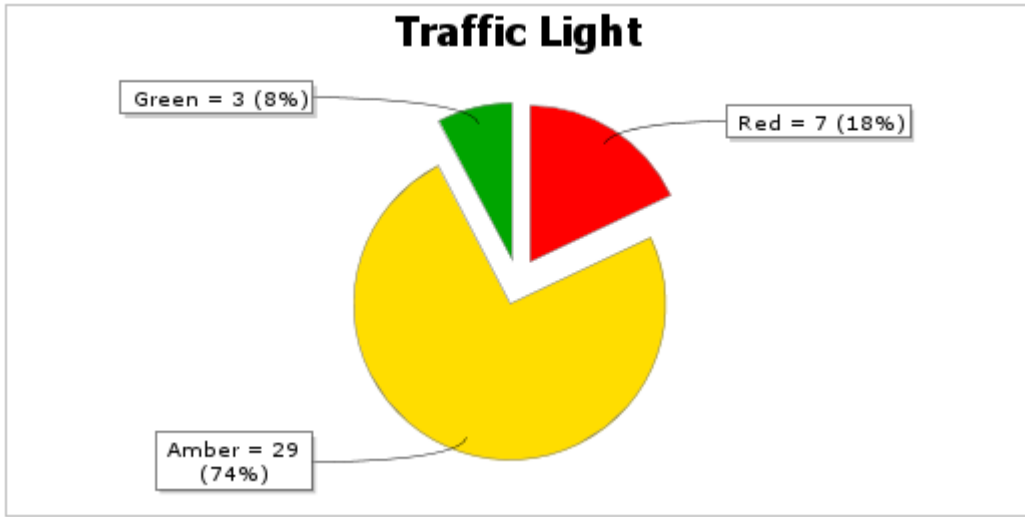
**Step 3:** Score the **residual** risk = impact x likelihood (taking into account the controls and mitigations we have in place).

**Step 4:** Review final risk score against the **risk tolerance boundary** (yellow line). If High (red), seek to further mitigate the risk to reduce it to Medium (amber) or Low (green); or acknowledge why it cannot be lowered at this time.

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|            |                   |                    |             |           |             |
|------------|-------------------|--------------------|-------------|-----------|-------------|
| Likelihood | 4<br>Very likely  | 4                  | 8           | 12        | 16          |
|            | 3<br>Likely       | 3                  | 6           | 9         | 12          |
|            | 2<br>Possible     | 2                  | 4           | 6         | 8           |
|            | 1<br>Remote       | 1                  | 2           | 3         | 4           |
|            | <i>Multiplier</i> | 1                  | 2           | 3         | 4           |
|            |                   | 1<br>Insignificant | 2<br>Medium | 3<br>High | 4<br>Severe |
|            |                   | <b>Impact</b>      |             |           |             |



|        |                         |
|--------|-------------------------|
| Red    | High risks              |
| Amber  | Medium risks            |
| Green  | Low risks               |
| Yellow | Risk tolerance boundary |



## Community & Wellbeing Committee

| Page No | Title                              | Potential Effect   | L | I | Inherent Risk | Controls                                   | L | I | Residual Risk | DoT | Approach | Commentary / Future Actions   | Updated     |
|---------|------------------------------------|--|---|---|---------------|--|---|---|---------------|-----|----------|---|-------------|
| 8       | QS26<br>Playhouse lighting failure | <ul style="list-style-type: none"> <li>Playhouse closure.</li> <li>Reputational damage.</li> </ul> | 4 | 4 | 16            | CIL Bid Submitted<br>Capital Bid Submitted | 4 | 4 | 16            | -   | Treat    | New risk added to the register. A capital bid has been submitted however the outcome will be unknown until Jan/Feb next year. Works will not be able to occur until Aug 2025. A CIL bid has also been applied for, the outcome of the initial stage is expected in Sep 2024. Finance and Facilities Management are aware of the risk. | 30-Jul-2024 |



|                 |   |   |   |   |    |   |   |   |    |   |       |   |             |
|-----------------|---|---|---|---|----|---|---|---|----|---|-------|---|-------------|
| HC13            | Inadequate budget for homelessness over medium-long term                                  | <ul style="list-style-type: none"> <li>• Unbudgeted expenditure.</li> <li>• Pressure on statutory service.</li> <li>• Need to source funding from outside current budget envelope.</li> </ul> | 4 | 4 | 16 | <ul style="list-style-type: none"> <li>Anti-Fraud &amp; Corruption Strategy and Response Plan</li> <li>RBBC Counter-Fraud Service</li> <li>Service/Function Review</li> <li>Medium Term Financial Strategy</li> <li>Responded to Government Consultation</li> <li>Strategic Housing Manager</li> <li>New Units for Accommodation Secured</li> <li>Government Funding - Additonal</li> </ul> | 4 | 3 | 12 |    | Treat | <ul style="list-style-type: none"> <li>• Approved Homelessness and Rough Sleeping Strategy and Action Plan.</li> <li>• Microhomes planning application to be submitted Q1 '024/25 and further sites considered.</li> <li>• Apprentice added to the TA team April 2024, which will help expand PSL scheme.</li> <li>• Mid-year report to C&amp;W Committee (10 Oct) carried out and follow up actions completed.</li> </ul>  | 07-Aug-2024 |
| OS20<br>Page 79 | Not maximising commercialisati on opportunities at council venues and parks / open spaces | <ul style="list-style-type: none"> <li>• Less income to the council, leading to service pressures.</li> <li>• Financial sustainability of assets.</li> </ul>                                  | 4 | 3 | 12 | <ul style="list-style-type: none"> <li>Project Management Governance</li> <li>Bourne Hall Cafe</li> <li>Project Management Resource</li> <li>Revenue Assessment Required for Change of Land Use</li> </ul>  | 4 | 3 | 12 |    | Treat | <ul style="list-style-type: none"> <li>• Income with the Community well-being centre against predicted growth has not happened and within this enterprise, which was recommended by the local government Association the service has not recovered since COVID this at high risk of non achievement, this one project prediction puts this at high risk 50,000-99,999 in financial tier 1.</li> <li>• Business case for flying saucer cafe continues to grow the revenue budget this has been highly successful and an example of where enterprise /commercialisation can work</li> </ul> | 15-Aug-2024 |
| HC14            | Lack of affordable housing in the Borough   | <ul style="list-style-type: none"> <li>• Changes to Borough demographics.</li> <li>• Homelessness.</li> <li>• Provision for key workers.</li> </ul>   | 4 | 3 | 12 | <ul style="list-style-type: none"> <li>Partnership Working</li> <li>Strategic Housing Manager</li> <li>Strategic Housing Group</li> </ul>   | 3 | 3 | 9  |  | Treat | <ul style="list-style-type: none"> <li>• Affordable Housing Delivery Improvement Plan completed and reviewed at Housing Delivery Group.</li> <li>• Engagement with key stakeholders on potential for development - East Street scheme of 31 homes approved at planning Committee.</li> <li>• Working with key RP to maximise AH in scheme.</li> </ul>   | 07-Aug-2024 |

|      |  |   |   |   |    |   |   |   |   |   |          |  |             |
|------|--|---|---|---|----|---|---|---|---|---|----------|--|-------------|
| HC6  | Non-delivery of annual plan objectives, Housing and Community Service, due to our response to refugee crises | <ul style="list-style-type: none"> <li>• Unable to deliver strategic objectives in the annual plan / Four Year Plan.</li> <li>• Reputational damage.</li> </ul> | 4 | 4 | 16 | Performance Management                      | 3 | 3 | 9 |  | Tolerate | <ul style="list-style-type: none"> <li>• Likelihood lowered to 3, because service continues to deliver on key objectives, even though some may slip.</li> <li>• Currently tolerating residual risk at present, as the team is working at full capacity and our response requires immediate attention.</li> <li>• Lack of capital resources to house refugees, including availability of local properties, which continues to pose a serious risk.</li> <li>• 'Thank you' payment to the hosts of Homes for Ukraine Scheme will now continue for another year.</li> </ul> | 07-Aug-2024 |
|      |  |   |   |   |    | Recruited Additional Team Members           |   |   |   |   |          |  |             |
| HC15 | Health and wellbeing worsen in the Borough due to increases in the costs of living                           | <ul style="list-style-type: none"> <li>• Less income to the council, leading to service pressures.</li> <li>• Financial sustainability of assets.</li> </ul>    | 3 | 3 | 9  | NHS Provide Services                        | 2 | 2 | 4 |  | Treat    | <ul style="list-style-type: none"> <li>• Continue working with the Epsom and Ewell Poverty Trust Commission.</li> <li>• Household support fund delivered to support households in need.</li> </ul>   | 07-Aug-2024 |
|      |  |   |   |   |    | Community & Wellbeing Centre                |   |   |   |   |          |  |             |
|      |  |   |   |   |    | Health Liaison Panel                        |   |   |   |   |          |  |             |
|      |  |   |   |   |    | Voluntary Sector Provide Services           |   |   |   |   |          |  |             |
|      |  |   |   |   |    | Epsom & Ewell Employment Hub                |   |   |   |   |          |  |             |
|      |  |   |   |   |    | Household Support Fund                      |   |   |   |   |          |  |             |
|      |  |   |   |   |    | Funding Provided to Voluntary Organisations |   |   |   |   |          |  |             |
|      |  |   |   |   |    | Epsom & Ewell Food Pantry                   |   |   |   |   |          |  |             |
|      |  |   |   |   |    | Bourne Hall Cottage - PCN Using             |   |   |   |   |          |  |             |






## Crime & Disorder Committee

| ID   | Title   | Potential Effect   | L | I | Inherent Risk | Controls  | L | I | Residual Risk | DoT | Approach | Commentary / Future Actions   | Updated     |
|------|---|--|---|---|---------------|---|---|---|---------------|-----|----------|---|-------------|
| HC31 | Upcoming changes to the Criminal Justice Bill               | <ul style="list-style-type: none"> <li>Misunderstand the changes.</li> <li>Legal challenge.</li> <li>Unable to effectively meet our obligations.</li> <li>Unbudgeted expenses.</li> </ul>  | 3 | 4 | 12            | Watching Brief Maintained<br>Access to legal advice   | 2 | 3 | 6             |     | Treat    | No change this quarter.   | 30-Aug-2024 |
| HC33 | Ineffective governance regarding PREVENT and PROTECT        | <ul style="list-style-type: none"> <li>Unable to meet objectives of PREVENT and PROTECT.</li> <li>Legal challenge.</li> <li>Health and safety.</li> <li>Unbudgeted expenses.</li> </ul>  | 4 | 4 | 16            | Budget Monitoring<br>Community Safety Action Plan   | 2 | 3 | 6             |     | Tolerate | <ul style="list-style-type: none"> <li>At Operational services, all staff working within buildings and venues are expected carryout the online training which shows the behaviours and items to look out for in the awareness of a threat. At present awareness training until it becomes clear what is expected from prevent and protect going forward. As of 15 August 2024 we have 24 staff who have recorded they have competed this on line training.</li> <li>On the 15th the threat level is orange, substantial, and attacked is likely. this sits below highly likely and highly likely in the near future. we have added the training record to be reviewed at out regular health and safety meetings, to ensure staff awareness</li> </ul> | 11-Sep-2024 |
| HC30 | Ineffective Public Space Protection Order (PSPO) governance | <ul style="list-style-type: none"> <li>Ineffective PSPOs.</li> <li>Lack of evidence for PSPOs.</li> <li>Ineffective relationships with key partners, e.g. the Police.</li> <li>Partial records.</li> <li>Delayed enforcement.</li> </ul> | 4 | 3 | 12            | Partnership Working<br>Information Published on Website<br>Policy in place<br>Knowledge sharing<br>Service Manager Review | 2 | 2 | 4             |     | Tolerate | No change this quarter.   | 30-Aug-2024 |

|      |  |   |   |   |   |                     |   |   |   |   |          |                                 |             |
|------|--|---|---|---|---|---------------------|---|---|---|---|----------|---------------------------------|-------------|
| HC32 | Ineffective partnership working on anti-social behaviour case reviews            | <ul style="list-style-type: none"> <li>• Ineffective outcomes for victims.</li> <li>• Undeliverable actions assigned to the council.</li> </ul>   | 3 | 3 | 9 | Partnership Working | 2 | 2 | 4 |  | Tolerate | No change this quarter.         | 30-Aug-2024 |
| HC29 | Failing to maintain adequate governance over Crime & Disorder Committee's budget | <ul style="list-style-type: none"> <li>• Delays to the committee fulfilling its obligations and decision making.</li> <li>• Interruption to the recruitment (when necessary) of the community safety / safeguarding officer.</li> </ul> | 1 | 3 | 3 | Budget Monitoring   | 1 | 2 | 2 |  | Tolerate | • No change since last quarter. | 07-Aug-2024 |
|      |  |   |   |   |   | Constitution        |   |   |   |   |          |                                 |             |
|      |  |   |   |   |   | Ringfenced budget   |   |   |   |   |          |                                 |             |

Environment Committee

| ID   | Title                            | Potential Effect   | L | I | Inherent Risk | Controls   | L | I | Residual Risk | DoT   | Approach | Commentary / Future Actions   | Updated     |
|------|----------------------------------|--|---|---|---------------|--|---|---|---------------|---|----------|---|-------------|
| OS21 | Climate change - Fleet emissions | <ul style="list-style-type: none"> <li>• Increased costs related to adapting / purchasing new vehicles.</li> <li>• Reduced efficiency.</li> <li>• Costs related to staff retraining.</li> <li>• Costs related to depot adaptations.</li> </ul> | 4 | 3 | 12            | Climate Change Group<br>SEP Green Fleet Working Group<br>Grant Funding Secured - Electric MealsOnWheels Vehicles | 4 | 3 | 12            |  | Tolerate | <ul style="list-style-type: none"> <li>• The Council continues to investigate the route to fleet electrification. Key issues are understanding the additional costs (more expensive vehicles, plus chargepoint infrastructure); understanding the project-planning resource requirement including electricity supply quantification; and identifying suitable vehicles. As yet, electric vehicles do not yet exist in a format for some of the Council's key operations e.g. refuse &amp; recycling collections, where choice is currently very limited. Further, market intelligence suggests that where electric refuse &amp; recycling vehicles are in use, issues of reliability, range and access to suitably-qualified technicians are impacting their use.</li> <li>• Transport &amp; Waste Services Manager is to compile a report on these matters during the second half of 2024/25.</li> <li>• In the meantime, we have recently been able to use grant funding to buy 3 electric cars for Meals-at-Home deliveries, which have replaced three diesel vans. We are currently exploring further grant funding options.</li> </ul> | 13-Aug-2024 |

|      |  |  |   |   |    |                         |   |   |   |   |       |  |             |
|------|--|--|---|---|----|-------------------------|---|---|---|---|-------|--|-------------|
| HC24 | Lack of officer capacity related to environmental health work          | <ul style="list-style-type: none"> <li>• Statutory duties not completed.</li> <li>• Increased costs incurred when appointing an external company to conduct statutory checks.</li> <li>• Poor performance.</li> <li>• Decrease in staff morale.</li> <li>• Reputational damage.</li> </ul> | 3 | 4 | 12 | Internal Audit          | 3 | 3 | 9 |  | Treat | <ul style="list-style-type: none"> <li>• Exploring Agency and external Councils to take on some of workload.</li> <li>• Identifying Licensing Manager to do work in this area</li> </ul> | 30-Aug-2024 |
|      |  |  |   |   |    | Additional staff        |   |   |   |   |       |  |             |
| HC26 | Car park equipment reaching end of life without a replacement in place | <ul style="list-style-type: none"> <li>• Hook Road Car Park becomes inoperative to visitors, staff, local business users.</li> <li>• Loss of income.</li> <li>• Reputational damage.</li> </ul>  | 4 | 4 | 16 | SLT Reporting           | 2 | 4 | 8 |  | Treat | Projects underway.   | 30-Aug-2024 |
|      |  |  |   |   |    | Options appraisal       |   |   |   |   |       |  |             |
|      |  |  |   |   |    | Supplier communications |   |   |   |   |       |  |             |

|     |                                    |   |   |   |    |   |   |   |   |  |          |  |             |
|-----|------------------------------------|---|---|---|----|---|---|---|---|--|----------|--|-------------|
| OS5 | Outcome of national waste strategy | <ul style="list-style-type: none"> <li>• Budget implications.</li> <li>• Service delivery implications.</li> <li>• Operational management implications.</li> <li>• Stakeholder management.</li> </ul> | 4 | 3 | 12 | Monitoring for Government Announcements | 2 | 3 | 6 |  | Tolerate | <ul style="list-style-type: none"> <li>• Defra announced ‘Simpler Recycling’ in October 2023, which replaced its previously-proposed ‘Consistency of Collections’ strategy that was scrapped after public consultations. This essentially gives a green light to the Council to keep our current service structure should we wish to. However, Defra has still not published the outcome of its public consultation in November 2023, to which the Council responded: key questions for us were timescales, payment processes and the need to ensure recyclability of the new materials that we will eventually be obligated to collect (cartons, foil, plastic films).</li> <li>• The Council appealed Defra’s capital payment of £108k for food waste recycling (to provide a vehicle and bins for food waste recycling at flatted properties still to be provided with food waste recycling – currently we have c.1,500 flatted households still to be provided for), which we consider is insufficient. Defra has said that it will be providing ‘resource funding’ for the revenue costs of this move, but has not yet advised how much will be paid, or when.</li> <li>• Transport &amp; Waste Services Manager attended a seminar on EPR (packaging producers paying councils to collect packaging waste) in May. We thought this would announce details of how EPR would work, and when, but in fact it was asking us how we would like it to work, and announcing that the EPR Scheme Administrator would be in place by the end of 2024. This suggests that Defra’s current launch date of 1/4/25 for EPR payments is in doubt. Defra has announced that the Deposit Return Scheme (cans and plastic bottles) has been put back to October 2027. Simpler Recycling also required businesses to separate their waste for recycling</li> </ul> | 30-Aug-2024 |
|-----|------------------------------------|---|---|---|----|---|---|---|---|--|----------|--|-------------|

Simpler Recycling



|                 |   |  |   |   |    |  |   |   |   |   |       |  |             |
|-----------------|---|--|---|---|----|--|---|---|---|---|-------|--|-------------|
| PD31            | Unable to meet costs associated with the Tree Management Plan (e.g. unplanned maintenance, Ash dieback) | <ul style="list-style-type: none"> <li>Budgetary pressures.</li> <li>Public health and safety.</li> <li>Increased tree planting leads to increased ongoing maintenance costs.</li> <li>Reputational damage.</li> </ul> | 4 | 3 | 12 | <ul style="list-style-type: none"> <li>Budget Monitoring</li> <li>Financial Due Diligence</li> <li>Tree Management Plan</li> <li>Tree Maintenance Contract</li> <li>Policy in place</li> <li>New Policy and fees and charges approved for third party tree planting requests to cover council's costs</li> <li>Epsom &amp; Walton Downs Conservators contribute to the maintenance of trees on the Downs.</li> </ul> | 2 | 3 | 6 | ↓ | Treat | New risk formed from merger of PD7 and PD22.   | 30-Aug-2024 |
| OS22<br>Page 87 | Increasing costs related to maintaining allotments  | <ul style="list-style-type: none"> <li>Increased budgetary pressures.</li> <li>Fall in 'quality' of allotments.</li> <li>Impact on users' health and wellbeing.</li> <li>Reputational damage.</li> </ul>               | 3 | 3 | 9  | <ul style="list-style-type: none"> <li>Annual Budget Setting</li> <li>Medium Term Financial Strategy</li> <li>Working Group</li> </ul>   | 2 | 2 | 4 | ▬ | Treat | <ul style="list-style-type: none"> <li>The Allotment Working Group has been set up.</li> <li>Review fees and charges in relation to the cost of managing the sites.</li> <li>Allotment Forum meeting which will be attended by Chair of Allotment WG, has taken place.</li> </ul>  | 16-Sep-2024 |
| HC10            | Significant decrease in parking revenue from car parks  | <ul style="list-style-type: none"> <li>Increased budgetary pressures.</li> </ul>   | 3 | 4 | 12 | <ul style="list-style-type: none"> <li>Annual Budget Setting</li> <li>Medium Term Financial Strategy</li> <li>Revenue Assessment Required for Change of Land Use</li> <li>Budget Profile Exercise</li> </ul>   | 1 | 2 | 2 | ▬ | Treat | <ul style="list-style-type: none"> <li>Year to date (March) - car park income is slightly above the same period last year, although visitor numbers remain comparable with last year.</li> <li>Direction of travel has remained the same.</li> <li>Environment Committee agreed to changes in car park fees with effect from April 2024, together with minor changes in April 2024, in consultation with Car Parking Working Group.</li> </ul> | 07-Aug-2024 |

Licensing & Planning Policy Committee

| ID   | Title  | Potential Effect   | L | I | Inherent Risk | Controls  | L | I | Residual Risk | DoT | Approach | Commentary / Future Actions  | Updated     |
|------|--|--|---|---|---------------|---|---|---|---------------|-----|----------|--|-------------|
| PD2  | Planning breaches are not enforced   | <ul style="list-style-type: none"> <li>Negative impact on neighbouring residents.</li> <li>Legal challenge.</li> <li>Reputational damage.</li> </ul>   | 4 | 4 | 16            | Enforcement Trainer Actioning Cases<br>Development Management Project | 3 | 3 | 9             |     | Tolerate | <ul style="list-style-type: none"> <li>Review potential addition of a planning enforcement KPI with new Chair.</li> </ul>  | 07-Aug-2024 |
| PD27 | The spatial strategy site selection cannot be agreed at Full Council   | <ul style="list-style-type: none"> <li>Failure to meet the July 2025 deadline.</li> <li>Failure to meet the transport assessment date with SCC.</li> <li>Creation of Regulation 19 version of the plan is at risk.</li> <li>Presentation of Regulation 19 to members at full council could result in the plan being voted down.</li> </ul> | 3 | 4 | 12            | Full Council Approval<br>Councillor Engagement<br>Transport modelling | 2 | 4 | 8             |     | Tolerate | <ul style="list-style-type: none"> <li>Transport modelling deadline met (spatial strategy options submitted for testing) to mitigate risk of site changes.</li> </ul>          | 07-Aug-2024 |
| PD28 | SCC fails to deliver the transport assessment and the infrastructure assessment in time to meet our critical path milestones to deliver our Local Plan | <ul style="list-style-type: none"> <li>Fail to meet the July 2025 deadline.</li> <li>Additional costs are incurred despite not being able to meet the deadline.</li> <li>Local Plan work may become paused again and the borough remains with an old out of date plan.</li> </ul>  | 2 | 4 | 8             | Engagement w/ Surrey County Council                                   | 2 | 4 | 8             |     | Tolerate | <ul style="list-style-type: none"> <li>Defined and shared the critical path milestones with SCC and in regular discussion to ensure that they can deliver to these.</li> </ul> | 16-Sep-2024 |



|      |  |   |   |   |    |   |   |   |   |  |          |   |             |
|------|--|---|---|---|----|---|---|---|---|--|----------|---|-------------|
| HC25 | Reduced demand for licensing services due to increased fees/charges  | <ul style="list-style-type: none"> <li>• Reduced income to the Council.</li> <li>• Reduced LPPC budget.</li> </ul>  | 3 | 3 | 9  | Reports submitted to committee for approval | 2 | 3 | 6 |  | Tolerate | No change this quarter.   | 30-Aug-2024 |
|      |  |   |   |   |    | Budget Monitoring                           |   |   |   |  |          |   |             |
| HC27 | Out of date licensing policies   | <ul style="list-style-type: none"> <li>• Gaps in governance framework.</li> <li>• Reputational damage.</li> </ul>   | 4 | 4 | 16 | Additional staff                            | 3 | 2 | 6 |  | Treat    | Awaiting SLT approval of resource.  | 30-Aug-2024 |
|      |  |   |   |   |    | Access to legal advice                      |   |   |   |  |          |   |             |
|      |  |   |   |   |    | Committee training                          |   |   |   |  |          |   |             |
| PD19 | Macro-economic factors (inc. lack of development) lead to reduced planning income e.g. related to planning applications and CIL fees | <ul style="list-style-type: none"> <li>• Reduced income to the Council.</li> <li>• Reduction in the LPPC's budget.</li> <li>• Unable to achieve national housing targets.</li> <li>• Unable to deliver CIL projects.</li> </ul> | 3 | 4 | 12 | Budget Monitoring                           | 2 | 3 | 6 |  | Tolerate | <ul style="list-style-type: none"> <li>• Report taken to LPPC in Dec 2023 re setting appropriate budget targets.</li> <li>• New fee setting process in place Dec 23 which has informed 2024-25 budget setting.</li> </ul> | 07-Aug-2024 |
|      |  |   |   |   |    | Ability to Alter Discretionary Service Fees |   |   |   |  |          |   |             |
| HC16 | Not preparing for legislative changes related to licencing   | <ul style="list-style-type: none"> <li>• Inappropriate governance.</li> <li>• Reduced service performance.</li> <li>• Legal challenge.</li> <li>• Reputational damage.</li> </ul>   | 4 | 4 | 16 | Watching Brief Maintained                   | 1 | 4 | 4 |  | Tolerate | <ul style="list-style-type: none"> <li>• Timetable for policy reviews identified.</li> <li>• Seeking SLT approval for additional capacity to enable policy reviews within timeframe.</li> </ul>                           | 07-Aug-2024 |
| HC23 | Non-recovery of licencing fees   | <ul style="list-style-type: none"> <li>• Reduced Council income.</li> <li>• Misalignment of resource costs and income generation.</li> <li>• Reputational damage.</li> </ul>  | 4 | 3 | 12 | Budget Monitoring                           | 2 | 2 | 4 |  | Tolerate | <ul style="list-style-type: none"> <li>• No further update at this stage.</li> </ul>  | 07-Aug-2024 |
| PD20 | Not preparing for legislative changes related to planning  | <ul style="list-style-type: none"> <li>• Inappropriate governance.</li> <li>• Reduced service performance.</li> <li>• Legal challenge.</li> <li>• Reputational damage.</li> </ul>   | 4 | 4 | 16 | Watching Brief Maintained                   | 1 | 4 | 4 |  | Tolerate | <ul style="list-style-type: none"> <li>• No further update at this stage.</li> </ul>  | 07-Aug-2024 |
|      |  |   |   |   |    | Monthly briefing to Chair and Vice-Chair    |   |   |   |  |          |   |             |


|      |  |   |   |   |    |                                     |   |   |   |   |          |   |             |
|------|--|---|---|---|----|-------------------------------------|---|---|---|---|----------|---|-------------|
| PD29 | Planning policy officers leaving the council                             | <ul style="list-style-type: none"> <li>• Knowledge and experience leaves the council.</li> <li>• Increased timings to produce the Local Plan.</li> </ul>                                  | 2 | 4 | 8  | Managers working closely with staff | 1 | 4 | 4 |  | Tolerate | <ul style="list-style-type: none"> <li>• Two key roles now made permanent.</li> </ul>   | 07-Aug-2024 |
| PD3  | Decline in development management performance i.e. threat of designation | <ul style="list-style-type: none"> <li>• * Poor customer service.</li> <li>• Legal / governmental challenge.</li> <li>• Reputational damage.</li> <li>• Staff dissatisfaction.</li> </ul> | 3 | 4 | 12 | Development Management Project      | 1 | 4 | 4 |  | Tolerate | <ul style="list-style-type: none"> <li>• Threat of designation has now been removed however on-going performance likely to be a continuing risk.</li> </ul> | 07-Aug-2024 |

## Strategy & Resources Committee

| ID   | Title  | Potential Effect   | L | I | Inherent Risk | Controls  | L | I | Residual Risk | DoT | Approach | Commentary / Future Actions  | Updated     |
|------|--|--|---|---|---------------|---|---|---|---------------|-----|----------|--|-------------|
| PR14 | Not delivering a value for money result regarding the future of the current Town Hall site | <ul style="list-style-type: none"> <li>Loss of significant (future) income / capital receipts.</li> <li>Unable to deliver corporate and Borough objectives.</li> <li>Reputational damage.</li> </ul> | 3 | 4 | 12            | Member Working Group<br>Appoint external consultant   | 3 | 4 | 12            | ↑   | Treat    | See update for Annual Plan action AP24/5.5 above.  | 16-Sep-2024 |
| PR15 | Climate change - Building emissions  | <ul style="list-style-type: none"> <li>Unable to achieve climate change strategy goal to reduce building emissions.</li> <li>Council generates more CO2 than necessary.</li> </ul>                   | 4 | 3 | 12            | Climate Change Group<br>Climate Change Action Plan  | 4 | 3 | 12            | ▬   | Treat    | New risk added by Business Assurance Manager, following it being tabled at Audit & Scrutiny Committee in July 24. Risk assessment TBC by HofP&R, Sustainability Officer, SLT and S&R Committee Chairs.                     | 30-Aug-2024 |
| PR3  | Property Portfolio   | <ul style="list-style-type: none"> <li>Significant loss of income.</li> <li>Costs associated with replacing a tenant.</li> <li>Budgetary pressures.</li> </ul>                                       | 3 | 4 | 12            | Tenant Sustainability Checks<br>Commercial Property Acquisition Criteria<br>Reports submitted to committee for approval<br>Engagement w/ Finance Service<br>Reported to EEPIC Board | 3 | 4 | 12            | ↑   | Treat    | <ul style="list-style-type: none"> <li>Revised Q4 'score' following S&amp;R chairs meeting.</li> <li>Due to potential challenge to rents.</li> <li>Continued close management of Landlord/Tenant relationships.</li> </ul> | 04-Sep-2024 |








|       |  |  |   |   |    |                                     |   |   |   |  |          |  |             |
|-------|--|--|---|---|----|-------------------------------------|---|---|---|--|----------|--|-------------|
| PCR21 | Retendering of leisure centre contract       | <ul style="list-style-type: none"> <li>• Reputational damage.</li> <li>• Health and wellbeing of residents compromised.</li> <li>• Loss of business continuity.</li> <li>• Financial impact due to reduction of management fee.</li> </ul>   | 3 | 4 | 12 | SLT sign-off - Feasibility          | 3 | 3 | 9 |  | Tolerate | Tender preparations are progressing on schedule. The Likelihood remains at 3, as although the project timescales are achievable, they are tight. | 04-Sep-2024 |
|       |  |  |   |   |    | Contract Management                 |   |   |   |  |          |  |             |
|       |  |  |   |   |    | Procurement Strategy                |   |   |   |  |          |  |             |
|       |  |  |   |   |    | Contract Standing Orders            |   |   |   |  |          |  |             |
|       |  |  |   |   |    | Project Contingency Time            |   |   |   |  |          |  |             |
|       |  |  |   |   |    | Corporate Procurement process       |   |   |   |  |          |  |             |
| PD21  | Declining economic vitality in the Borough   | <ul style="list-style-type: none"> <li>• Lack of economic drive and contributions in the Borough.</li> <li>• Reduced opportunities for residents and businesses.</li> </ul>  | 4 | 3 | 12 | BID Support                         | 3 | 3 | 9 |  | Tolerate | • Currently no resource available to progress.   | 07-Aug-2024 |
|       |  |  |   |   |    | Annual Plan Objective               |   |   |   |  |          |  |             |
|       |  |  |   |   |    | Local Enterprise Partnership        |   |   |   |  |          |  |             |
|       |  |  |   |   |    | Working w/ Neighbouring Authorities |   |   |   |  |          |  |             |
| ST10  | Failing to respond to complaints effectively | <ul style="list-style-type: none"> <li>• Poor customer experience.</li> <li>• Reputational damage.</li> <li>• Increased costs related to officer time required to rectify complaints after initial response.</li> <li>• Costs related to any financial settlements / restitutions.</li> <li>• Public interest for non-compliance report issued by the Local Government and Social Care Ombudsman (LGSCO).</li> </ul> | 3 | 4 | 12 | Staff training                      | 2 | 2 | 4 |  | Tolerate | No change this quarter, however additional mitigations are in progress.  | 22-Aug-2024 |
|       |  |  |   |   |    | Information Published on Website    |   |   |   |  |          |  |             |
|       |  |  |   |   |    | Complaints Management Governance    |   |   |   |  |          |  |             |
|       |  |  |   |   |    | Complaints Meetings                 |   |   |   |  |          |  |             |



|     |   |  |   |   |   |   |   |   |   |  |       |   |             |
|-----|---|--|---|---|---|---|---|---|---|--|-------|---|-------------|
| EO8 | Ineffective communication to key stakeholders   | <ul style="list-style-type: none"> <li>Audiences and stakeholders are unaware of information and updates that are important and/or relevant to them.</li> <li>Negative impact on Council reputation if we are seen not to be communicating and engaging effectively with audiences.</li> </ul> | 3 | 3 | 9 | Service/Function Review                   | 2 | 2 | 4 |  | Treat | No change this quarter.   | 30-Aug-2024 |
|     |   |  |   |   |   | Communications Strategy                   |   |   |   |  |       |   |             |
|     |   |  |   |   |   | Regular review of communication channels  |   |   |   |  |       |   |             |
|     |   |  |   |   |   | Communications Campaigns                  |   |   |   |  |       |   |             |
|     |   |  |   |   |   | Internal Client - Account Manager Process |   |   |   |  |       |   |             |
|     |   |  |   |   |   | Comms standards                           |   |   |   |  |       |   |             |
| F10 | Failure to deliver services within agreed budget envelope (e.g. increase in operational costs, staffing, energy etc.) | <ul style="list-style-type: none"> <li>Negative impact on council budget.</li> <li>Service changes.</li> </ul>   | 3 | 3 | 9 | Budget Monitoring                         | 2 | 2 | 4 |  | Treat | Quarter 1 forecasts will be presented to Audit & Scrutiny committee in September 2024.  | 30-Aug-2024 |
|     |   |  |   |   |   | Annual Budget Setting                     |   |   |   |  |       |   |             |
|     |   |  |   |   |   | Competitive Procurement of Utilities      |   |   |   |  |       |   |             |
| R11 | Lack of leadership and skills to deliver strategies objectives  | <ul style="list-style-type: none"> <li>Do not meet financial targets.</li> <li>Unable to implement corporate strategies and plans.</li> <li>Unable to implement revenue generating initiatives / opportunities.</li> </ul>   | 2 | 3 | 6 | Recruitment Strategy                      | 2 | 2 | 4 |  | Treat | <ul style="list-style-type: none"> <li>Assessment 'score' revised following June S&amp;R Committee meeting.</li> <li>Original risk 'score' also revised at same meeting, from 3L x 4I, to accommodate transition into P-Hub framework.</li> <li>Permanent appointment for Director of EHR, and Head of IT, S151 and Head of HR.</li> <li>Continuing interim arrangement for Director of Corporate Resources and Head of Place Development on-going recruitment.</li> <li>Leadership and management development programme in development.</li> </ul> | 07-Aug-2024 |
|     |   |  |   |   |   | Retaining Talent Policy                   |   |   |   |  |       |   |             |
|     |   |  |   |   |   | Succession Planning                       |   |   |   |  |       |   |             |
|     |   |  |   |   |   | Performance Management                    |   |   |   |  |       |   |             |
|     |   |  |   |   |   | My Performance Conversations              |   |   |   |  |       |   |             |
|     |   |  |   |   |   | Risk Management Strategy                  |   |   |   |  |       |   |             |
|     |   |  |   |   |   | Project Management Governance             |   |   |   |  |       |   |             |

|     |                               |   |   |   |   |  |   |   |   |   |          |  |             |
|-----|-------------------------------|---|---|---|---|--|---|---|---|---|----------|--|-------------|
| EO3 | Implications of a County deal | <ul style="list-style-type: none"> <li>• Changes to service delivery and level of influence over services.</li> <li>• Centralisation of some services e.g. taxi licencing.</li> <li>• Centralisation of economic development activity.</li> </ul> | 2 | 2 | 4 | Working Group                                    | 1 | 2 | 2 |  | Tolerate | Future actions will be to: <ul style="list-style-type: none"> <li>• Continue productive engagement with Surrey and other councils on partnership working.</li> <li>• Consider our economic development policy and see that alongside Surrey wide economic development work.</li> </ul> | 07-Aug-2024 |
|     |                               |   |   |   |   | Stakeholder group                                |   |   |   |   |          |  |             |
|     |                               |   |   |   |   | Collaboration with other councils                |   |   |   |   |          |  |             |
|     |                               |   |   |   |   | Chief Executive working groups across the county |   |   |   |   |          |  |             |




## Annual Governance Statement Actions

Every year we publish our Annual Governance Statement, which outlines our assurance on our systems of internal control. As part of this review, we identify key actions which we feel will improve our Corporate Governance.

| Issues Identified   | Due Date    | Latest Update   | RAG Status  | Updated     |
|---|-------------|---|---|-------------|
| Enhance the resilience of the People & Organisational Development Service by recruiting vacant posts and continuing with multi-role training for new team members | 30-Sep-2024 | Recruitment for all roles has been successful. Head of People and OD started in June 24. HR Advisor starts in August 24 and People and OD Business Partner starts in September 24.  |    | 07-Aug-2024 |
| Review and enhance recruitment and retention policies and procedures for key roles across the council   | 31-Mar-2025 | HR Policy Review is underway.   |    | 08-Aug-2024 |
| Review and update IT policies as necessary  | 31-Dec-2024 | <ul style="list-style-type: none"> <li>• Work has completed on the revised password policy and has been peer reviewed in ICT</li> <li>• Needs to progress to approval stage</li> <li>• ICT Security and AUP Policies are in process of update</li> </ul>  |    | 08-Aug-2024 |
| PSN Certificate   | 31-Mar-2025 | <ul style="list-style-type: none"> <li>• Three primary systems need to be mitigated in 2024 before the PSN scan can be completed and the certificate awarded</li> <li>• These are the old 'eHub', CRM and the Idox DMS systems that are all in various stages or decommission or replacement.</li> </ul>  |  | 09-Aug-2024 |
| Document management Software - to procure new software to enhance the revenues and benefits service   | 31-Dec-2024 | Software has been purchased. We are now in the implementation stage with the chosen 3rd party supplier.   |  | 16-Aug-2024 |
| Biodiversity Net Gain - implement the Biodiversity Net Gain policy requirements   | 31-Jul-2024 | <p>BNG allows for provision of the 10% gain in order of priority – 1) onsite 2) offsite (or comb of 1 and 2) or 3) national credits.</p> <p>Survey work is being undertaken on sites within the Borough by SCC to establish if they are suitable for the offsite enhancements. As BNG was introduced for applications relatively recently, there have been no approved applications which require offsite BNG mitigation to date.</p> |  | 02-Sep-2024 |
| Public Protection Inspections -review resourcing in statutory Environmental Health services, including discretionary activities                                   | 31-Mar-2025 | Action completed.   |  | 21-Aug-2024 |

| Issues Identified  | Due Date           | Latest Update  | RAG Status   | Updated            |
|--|--------------------|--|--|--------------------|
| <p>Audit and Scrutiny Committee-review the Audit and Scrutiny Committee's Terms of Reference</p> | <p>28-Feb-2026</p> | <p>S&amp;R agreed the following at its meeting on 23 July 2024:</p> <p>Options to decouple the Scrutiny and Audit function should be explored with scrutiny subsumed into policy committees.</p> <p>What the Peer team said:<br/>Concerns raised about audit and scrutiny being diluted by being combined under one committee. CIPFA recommend that audit should be stand-alone as a committee as both audit and scrutiny have specific roles. It is important that the council gives early consideration in separating the audit and scrutiny functions with scrutiny subsumed into policy committees.</p> <p>Actions -</p> <p>11.1 Explore how audit and scrutiny is carried out in other councils with a committee system.MO Sept 2025</p> <p>11.2 Arrange a training for members and officers on committee system governance to understand the role of committees in proper scrutiny of policy. CEx to ask CFGS to run thisOct 2025</p> <p>11.3 Explore compliance with national legislation to ensure statutory requirements are met.MO Sept 2025</p> <p>11.4 Proposal put forward to members for decision.<br/>MO/Constitution Working GroupFeb 2025(Full Council)</p> <p><b>Action 11.4 – correction to timescale.</b> The Committee noted the following correction to Appendix 1 to the report:</p> <p>The timescale for Action 11.4 be corrected from “Feb 2025” to “Feb 2026”.</p> | <p></p>   | <p>20-Aug-2024</p> |
| <p>Corporate Plan - produce a long-term corporate plan</p>                                       | <p>31-Mar-2025</p> | <ul style="list-style-type: none"> <li>• the CPC action plan has gone to S&amp;R committee and been approved. That set out the need for a long term plan</li> <li>• Desire from councillors that the formation of the plan is councillor driven - need date in diary to meet and establish priorities</li> <li>• have begun to work on what from Future 40 has been completed, what we won't complete as no longer relevant or not in our gift and what we have yet to do</li> <li>• That can be the basis of future discussion</li> </ul>   | <p></p> | <p>15-Aug-2024</p> |



| Issues Identified  | Due Date    | Latest Update   | RAG Status  | Updated     |
|--|-------------|---|---|-------------|
| Develop a corporate record of the Council's resident engagement activities                 | 31-Mar-2025 | <ul style="list-style-type: none"> <li>• Head of Policy and CR has started work on writing a way forward for the council on its engagement activities</li> <li>• this may go to C&amp;W in October</li> </ul>   |  | 13-Aug-2024 |
| Data Protection Officer - source additional Data Protection Officer capacity               | 31-Oct-2024 | <ul style="list-style-type: none"> <li>• After a procurement exercise a new partner has been found to help with DPO activities. They are Data Protection People and new service expected to start on 1st September</li> </ul>   |  | 13-Aug-2024 |
| Councillor Training - review and enhance the councillor training and development programme | 31-Oct-2025 | <p>To be revised to Oct 25 to tie in with specific training for A&amp;S - as agreed by S&amp;R at its meeting on 23 July 2024:</p> <p>11.2 Arrange a training for members and officers on committee system governance to understand the role of committees in proper scrutiny of policy. CEx to ask CFGS to run this - Oct 2025</p> |  | 20-Aug-2024 |

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## IPCO INSPECTION 2024

|                               |  |
|-------------------------------|--|
| <b>Head of Service:</b>       | Andrew Bircher, Interim Director of Corporate Services |
| <b>Report Author</b>          | Will Mace, Business Assurance Manager                  |
| <b>Wards affected:</b>        | (All Wards);   |
| <b>Appendices (attached):</b> | Appendix 1 – Final IPCO Reply Letter 2024              |

### Summary

This report provides the Committee with the outcome of the Investigatory Powers Commissioner's Office (IPCO) latest inspection. The Council was due its usual three-yearly inspection by IPCO, regarding its compliance with the Regulation of Investigatory Powers Act 2000 (RIPA) and the Investigatory Powers Act 2016. The Council was last inspected in January 2021.

Following the receipt of the Council's responses to the inspection information request, the Investigatory Powers Commissioner are satisfied that the Council's reply provides assurance that ongoing compliance with RIPA 2000 and the Investigatory Powers Act 2016 will be maintained. As such, the Council did not require further inspection this year.

The Commissioner highlighted three minor areas where the Council can enhance its RIPA Policy. Officers will update the RIPA Policy as per the Commissioner's recommendations, which will then be brought to the Committee as part of the annual RIPA report in March 2025.

### Recommendation (s)

#### The Committee is asked to:

- (1) Note the findings and recommendations from the Investigatory Powers Commissioner's Office 2024 inspection.**

## 1 Reason for Recommendation

- 1.1 To provide assurance to the Committee that the Council is compliant with the Regulation of Investigatory Powers Act 2000 (RIPA) and the Investigatory Powers Act 2016.

## 2 Background

- 2.1 The Council is inspected by the IPCO every three years to ensure its compliance with RIPA and the Investigatory Powers Act 2016. The latest inspection concluded on the 10<sup>th</sup> June 2024 upon receipt of the Investigatory Powers Commissioner's final inspection letter.
- 2.2 Following a review of how IPCO conducts its oversight of local authorities, they no longer routinely undertake physical / remote inspections, as has previously been the case. Instead, the Investigatory Powers Commissioner agreed that each local authority should provide a written update, in the first instance, on its compliance with the legislation.

### **3 Outcome of the 2024 IPCO Inspection**

- 3.1 Following the receipt of the Council's written update and engagement with the IPCO Inspector, the Commissioner is satisfied that the Council's reply provides its assurance that ongoing compliance with RIPA 2000 and the Investigatory Powers Act 2016 will be maintained. As such, the Council did not require further inspection this year.
- 3.2 The Commissioner highlighted three areas where the Council can enhance its RIPA Policy.
  - Review of paragraph 46 of the RIPA Policy in relation to social media investigations, and in particular the phrase - "Where privacy settings are available but have not been used, authorisation is not usually required to access and use that data in an investigation." Paragraph 3.13 and 3.14 of the CHIS Code of Practice 2018 has some guidance, "in some circumstances privacy implications still apply. This is because the intention when making such information available was not for it to be used for a covert purpose such as investigative activity. This is regardless of whether a user of a website or social media platform has sought to protect such information by restricting its access by activating privacy settings". The RIPA policy does continue to provide some good explanation at Annex 3.
  - The RIPA Policy has a few references to the OSC (Office of Surveillance Commissioners) which is now defunct and replaced by IPCO.
  - The addition of a section in the RIPA Policy about Records and Product Management, with regard to any material generated from an authorisation, and a review of any previously generated material if applicable.
- 3.3 Officers will update the RIPA Policy as per the Commissioner's recommendations. The updated Policy will be brought to the Committee as part of the annual RIPA report in March 2025.

### **4 Risk Assessment**

Legal or other duties

4.1 Equality Impact Assessment

4.1.1 No direct implications.

4.2 Crime & Disorder

4.2.1 No direct implications.

4.3 Safeguarding

4.3.1 No direct implications.

4.4 Dependencies

4.4.1 None.

4.5 Other

4.5.1 None.

**5 Financial Implications**

5.1 No implications.

5.2 **Section 151 Officer's comments:** None arising from the contents of this report.

**6 Legal Implications**

6.1 No implications beyond ongoing maintenance of compliance activities.

**6.2 Legal Officer's comments:** None arising from the contents of this report.

**7 Policies, Plans & Partnerships**

7.1 **Council's Key Priorities:** The following Key Priorities are engaged:

- Effective Council.

7.2 **Service Plans:** The matter is not included within the current Service Delivery Plan.

7.3 **Climate & Environmental Impact of recommendations:** No implications.

7.4 **Sustainability Policy & Community Safety Implications:** None.

7.5 **Partnerships:** No implications.

## 8 Background papers

8.1 The documents referred to in compiling this report are as follows:

### Previous reports:

- None.

### Other papers:

- EEBC (2024) *Annual report on the use of RIPA powers*, Audit & Scrutiny Committee, 28<sup>th</sup> March 2024. Online available: <https://democracy.epsom-ewell.gov.uk/ieListDocuments.aspx?CId=157&MId=1523> [last accessed 21/08/24].



PO Box 29105, London  
SW1V 1ZU

Epsom and Ewell Borough Council,  
The Parade,  
Epsom,  
Surrey,  
KT18 5BY

10<sup>th</sup> June 2024

Dear Chief Executive,

Thank you for providing IPCO with your response to the matters identified at points 1 to 10 of my Inspector's letter dated 13<sup>th</sup> February 2024. I am also grateful for the subsequent engagement with my Inspector as they followed up on the information you had provided.

I am satisfied that your reply provides your assurance that ongoing compliance with RIPA 2000 and the Investigatory Powers Act 2016 will be maintained. As such, your Council will not require further inspection this year.

There are a few recommendations as follows:

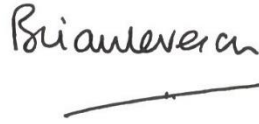
1. You may wish to review paragraph 46 of your Ripa Policy in relation to social media investigations, and in particular the phrase – “Where privacy settings are available but have not been used, authorisation is not usually required to access and use that data in an investigation.” Paragraph 3.13 and 3.14 of the CHIS Code of Practice 2018 has some guidance, “in some circumstances privacy implications still apply. This is because the intention when making such information available was not for it to be used for a covert purpose such as investigative activity. This is regardless of whether a user of a website or social media platform has sought to protect such information by restricting its access by activating privacy settings”. Your Ripa policy does continue to provide some good explanation at Annex 3.
2. The Ripa policy has a few references to the OSC (Office of Surveillance Commissioners) which is now defunct and replaced by IPCO
3. The addition of a section in your Ripa policy about Records and Product Management, with regard to any material generated from an authorisation, and a review of any previously generated material if applicable.

I would ask that you ensure that the key compliance issues continue to receive the necessary internal governance and oversight through yourself and your Senior Responsible Officer: policy refreshes; annual updates to your Elected Members; ongoing training and awareness raising; internal compliance monitoring by lead managers within their business areas; and the retention, review and destruction (RRD) of any product

obtained through the use of covert powers (Records and Product Management in accordance with the Safeguards Chapters of the relevant Codes of Practice).

Your Council will be due its next inspection in 2027, but please do not hesitate to contact my Office if IPCO can be of assistance in the intervening period.

Yours sincerely,



**The Rt. Hon. Sir Brian Leveson**  
The Investigatory Powers Commissioner



## LGSCO AND ICO UPDATES

|                               |  |
|-------------------------------|--|
| <b>Head of Service:</b>       | Andrew Bircher, Interim Director of Corporate Services |
| <b>Report Author</b>          | Andrew Bircher   |
| <b>Wards affected:</b>        | (All Wards);   |
| <b>Appendices (attached):</b> | None   |

### Summary

This report contains information on recent council complaint decisions from the Local Government and Social Care Ombudsman (LGSCO) and the Information Commissioner's Office (ICO).

### Recommendation (s)

#### The Committee is asked to:

- (1) Note the report

## 1 Reason for Recommendation

- 1.1 To ensure the committee is kept apprised of complaints involving the Ombudsman raised against the council, as well as data breaches, and actions taken to remedy those where the council is found at fault.

## 2 Background

- 2.1 This is a regular report to the committee focused on LGSCO and ICO information.
- 2.2 Outside of this, the council receives an annual letter from the LGSCO, detailing all ombudsman complaints they've reviewed in the year. This letter is brought elsewhere on this committee's agenda.
- 2.3 Also, complaints performance data for stage 1 and stage 2 complaints detailing the number of complaints received, and the time taken to process these complaints, feature in the Corporate Performance Report, which is also elsewhere on this committee's agenda.

- 2.4 An annual complaints report will also be brought to this committee setting out performance of the council's complaints handling for stage 1 and 2 including lessons learned. This report was last brought to the March committee and will next be brought in March 2025

**3 Local Government and Social Care Ombudsman and Information Commissioner's Office complaints received since last meeting.**

**LGSCO**

- 3.1 We have received no determinations from the LGSO since the last committee meeting.

**ICO**

- 3.2 Since the report to the last committee meeting there have been a further 5 data breaches, none of which was notifiable to the Information Commissioner's Office. They involved:

3.2.1 An email containing the basic personal identifiers (name, email address) of a resident was sent in error to wrong member of staff.

3.2.2 Email containing information about a council employee which was inadvertently forwarded to a third party as a result of Outlook auto-complete function.

3.2.3 Some historic staff records were made available through the (internal) intranet.

3.2.4 An email containing the basic personal identifiers (name, email address) of a resident was sent in error to another resident.

3.2.5 Disclosure of information relating to a complainant in a taxi licencing investigation. This was reviewed by the DPO and considered not notifiable to the ICO. All parties have been contacted.

- 3.3 In all the above where the email has gone to another party, the person who received it has been requested to delete. In the case of staff information on the intranet, this has all been removed, and will not recur as came about through creation of new staff intranet.

- 3.4 Consideration is being given to removal of auto-complete function on email.

**4 Risk Assessment**

Legal or other duties

- 4.1 Equality Impact Assessment

4.1.1 None that arise directly from this report

4.2 Crime & Disorder

4.2.1 Although the issues under consideration by the LGSCO matter relate to a community trigger process, none arise directly from this report.

4.3 Safeguarding

4.3.1 None arise directly from this report.

4.4 Dependencies

4.4.1 None arise directly from this report.

4.5 Other

4.5.1 None arise directly from this report.

## 5 Financial Implications

5.1 **Section 151 Officer's comments:** There are no financial issues that arise from this report.

## 6 Legal Implications

6.1 **Legal Officer's comments:** Issues regarding data breach have potentially serious consequences but the items referred to above were minor and not reportable to the ICO.

## 7 Policies, Plans & Partnerships

7.1 **Council's Key Priorities:** The following Key Priorities are engaged:

- Effective Council

7.2 **Service Plans:** The matter is not included within the current Service Delivery Plan.

7.3 **Climate & Environmental Impact of recommendations:** N/A

7.4 **Sustainability Policy & Community Safety Implications:** N/A

7.5 **Partnerships:** N/A

## 8 Background papers

8.1 The documents referred to in compiling this report are as follows:

**Previous reports:**

- A version of this report has been taken to recent A&S committee meetings.

**Other papers:**

- None

## **OMBUDSMAN ANNUAL REPORT 2023/24**

|                               |  |
|-------------------------------|--|
| <b>Head of Service:</b>       | Andrew Bircher, Interim Director of Corporate Services                               |
| <b>Report Author:</b>         | Kersty Wood, Kush Chatrath   |
| <b>Wards affected:</b>        | (All Wards);   |
| <b>Appendices (attached):</b> | Appendix 1 – Local Government and Social Care Ombudsman Annual Review Letter 2023/24 |

### **Summary**

This report provides the annual review of complaints received and decisions made by the Local Government and Social Care Ombudsman during 2023-24.

### **Recommendation (s)**

#### **The Committee is asked to:**

- (1) Receive and note the Local Government and Social Care Ombudsman Annual Review Letter 2023-2024.**

## **1 Reason for Recommendation**

- 1.1 To bring to the attention of the Committee the Annual Review of Complaints by the Local Government and Social Care Ombudsman (LGSCO), regarding complaints it has considered against the Council.

## **2 Background**

- 2.1 The Local Government and Social Care Ombudsman produces an Annual Review Letter for all local authorities detailing the number and type of complaints received and decisions made relating to each authority. The annual review letter for the period from 1 April 2023 to 31 March 2024 relating to Epsom and Ewell Borough Council is attached to this report as Appendix 1.

### 3 Annual Review Letter 2023-24

- 3.1 The Annual Review Letter sets out that for the year ending 31 March 2024 the LGSCO received a total of 24 complaints relating to the Council. Upon assessment by the Ombudsman, they decided four of these complaints required investigating. The Ombudsman upheld 2 of these complaints, the third was closed as there was no worthwhile outcome achievable by further investigation by the Ombudsman, and in the fourth no injustice was identified.
- 3.2 The details of the two complaints upheld by the Ombudsman have previously been reported to this committee.
- 3.3 Further details for all of these complaints can be found on the LGSCO website.
- 3.4 The Annual Review letter does not detail the total number of complaints made to the LGO against the Council. For the year ended 31 March 2024, this was 24. A comparison with previous years is provided below:

|   | 2017/18   | 2018/19   | 2019/20   | 2020/21   | 2021/22   | 2022/23   | 2023/24   |
|---|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| <b>Number of complaints received by the Ombudsman</b> | <b>15</b> | <b>23</b> | <b>27</b> | <b>17</b> | <b>11</b> | <b>17</b> | <b>24</b> |
| <b>Number of complaints upheld</b>                    | <b>1</b>  | <b>2</b>  | <b>0</b>  | <b>3</b>  | <b>2</b>  | <b>2</b>  | <b>2</b>  |

- 3.5 The Council's figures for 2023-24 are comparable to other Surrey authorities, as outlined in the below comparison table:

| <b>Authority</b>              | <b>Investigations</b> | <b>Upheld</b> |
|-------------------------------|-----------------------|---------------|
| <b>Elmbridge</b>              | <b>3</b>              | <b>1</b>      |
| <b>Epsom &amp; Ewell</b>      | <b>4</b>              | <b>2</b>      |
| <b>Guildford</b>              | <b>5</b>              | <b>3</b>      |
| <b>Reigate &amp; Banstead</b> | <b>1</b>              | <b>1</b>      |
| <b>Runnymede</b>              | <b>1</b>              | <b>1</b>      |
| <b>Spelthorne</b>             | <b>0</b>              | <b>0</b>      |
| <b>Surrey Heath</b>           | <b>1</b>              | <b>1</b>      |
| <b>Tandridge</b>              | <b>3</b>              | <b>3</b>      |
| <b>Waverley</b>               | <b>1</b>              | <b>1</b>      |
| <b>Woking</b>                 | <b>0</b>              | <b>0</b>      |

### 4 Risk Assessment

4.1 Equality Impact Assessment

4.1.1. There are no equalities issues arising from the contents of this report.

4.2 Crime & Disorder

4.2.1. None.

4.3 Safeguarding

4.3.1. None.

4.4 Dependencies

4.4.1. None.

4.5 Other

4.5.1. None.

**5 Financial Implications**

5.1 None arising from this report.

5.2 **Section 151 Officer's comments:** None arising from the contents of this report.

**6 Legal Implications**

6.1 The Council is obliged to respond to complaints of maladministration through the Ombudsman. The Local Government Act 1974 prescribes the way in which the Ombudsman conducts investigations.

6.2 **Legal Officer's comments:** None arising from the contents of this report.

**7 Policies, Plans & Partnerships**

7.1 **Council's Key Priorities:** The following Key Priorities are engaged:

- Effective Council

7.2 **Service Plans:** The matter is not included within the current Service Delivery Plan.

7.3 **Climate & Environmental Impact of recommendations:**

7.3.1. None.

7.4 **Sustainability Policy & Community Safety Implications:**

7.4.2. None.

7.5 **Partnerships:**

7.4.2. None

**8 Background papers**

8.1 The documents referred to in compiling this report are as follows:

**Other papers:**

- Local Government and Social Care Ombudsman Website, your Council's performance: <https://www.lgo.org.uk/your-councils-performance>



17 July 2024

*By email*

Ms King  
Chief Executive  
Epsom & Ewell Borough Council

Dear Ms King

### **Annual Review letter 2023-24**

I write to you with your annual summary of complaint statistics from the Local Government and Social Care Ombudsman for the year ending 31 March 2024. The information offers valuable insight about your organisation's approach to complaints, and I know you will consider it as part of your corporate governance processes. As such, I have sought to share this letter with the Leader of your Council and Chair of the appropriate Scrutiny Committee, to ensure effective ownership and oversight of complaint outcomes, which offer valuable opportunities to learn and improve. In addition, this year, we have encouraged Monitoring Officers to register to receive the letter directly, supporting their role to report the decisions we uphold to their council.

For most of the reporting year, Paul Najsarek steered the organisation during his tenure as interim Ombudsman, and I was delighted to take up the role of Ombudsman in February 2024. I look forward to working with you and colleagues across the local government sector to ensure we continue to harness the value of individual complaints and drive and promote systemic change and improvement across the local government landscape.

While I know this ambition will align with your own, I am aware of the difficult financial circumstances and service demands that make continuous improvement a challenging focus for the sector. However, we will continue to hold organisations to account through our investigations and recommend proportionate actions to remedy injustice. Despite the challenges, I have great confidence that you recognise the valuable contribution and insight complaints, and their swift resolution, offer to improve services for the public.

### **Complaint statistics**

Our statistics focus on three key areas that help to assess your organisation's commitment to putting things right when they go wrong:

**Complaints upheld** - We uphold complaints when we find fault in an organisation's actions, including where the organisation accepted fault before we investigated. We include the total number of investigations completed to provide important context for the statistic. This year, we also provide the number of upheld complaints per 100,000 population.

**Compliance with recommendations** - We recommend ways for organisations to put things right when faults have caused injustice and monitor their compliance with our recommendations. Failure to comply is rare and a compliance rate below 100% is a cause for concern.

**Satisfactory remedy provided by the authority** - In these cases, the organisation upheld the complaint and we agreed with how it offered to put things right. We encourage the early resolution of complaints and give credit to organisations that accept fault and find appropriate ways to put things right.

Finally, we compare the three key annual statistics for your organisation with similar authorities to provide an average marker of performance. We do this for County Councils, District Councils, Metropolitan Boroughs, Unitary Councils, and London Boroughs.

Your annual data, and a copy of this letter, will be uploaded to our interactive map, [Your council's performance](#), on 24 July 2024. This useful tool places all our data and information about councils in one place. You can find the detail of the decisions we have made about your Council, read the public reports we have issued, and view the service improvements your Council has agreed to make as a result of our investigations, as well as previous annual review letters.

### **Supporting complaint and service improvement**

In February, following a period of consultation, we launched the [Complaint Handling Code](#) for councils, setting out a clear process for responding to complaints effectively and fairly. It is aligned with the Code issued to housing authorities and landlords by the Housing Ombudsman Service and we encourage you to adopt the Code without undue delay. Twenty councils have volunteered to take part in an implementation pilot over the next two years that will develop further guidance and best practice.

The Code is issued to councils under our powers to provide guidance about good administrative practice. We expect councils to carefully consider the Code when developing policies and procedures and will begin considering it as part of our processes from April 2026 at the earliest.

The Code is considered good practice for all organisations we investigate (except where there are statutory complaint handling processes in place), and we may decide to issue it as guidance to other organisations in future.

Our successful complaint handling training programme continues to develop with new modules in Adult Social Care and Children's Services complaint handling available soon. All our courses include practical interactive workshops that help participants develop their complaint handling skills. We delivered 126 online workshops during the year, reaching more than 1,700 people. To find out more visit [www.lgo.org.uk/training](http://www.lgo.org.uk/training) or get in touch at [training@lgo.org.uk](mailto:training@lgo.org.uk).

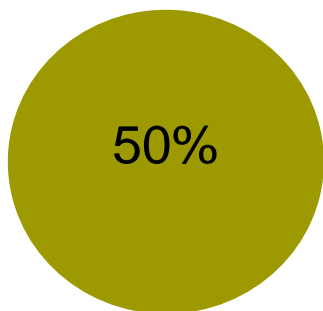
Returning to the theme of continuous improvement, we recognise the importance of reflecting on our own performance. With that in mind I encourage you to share your view of our organisation via this survey: <https://www.smartsurvey.co.uk/s/ombudsman/>. Your responses will help us to assess our impact and improve our offer to you. We want to gather a range of views and welcome multiple responses from organisations, so please do share the link with relevant colleagues.

Yours sincerely,



Amerdeep Somal  
Local Government and Social Care Ombudsman  
Chair, Commission for Local Administration in England

### Complaints upheld



**50%** of complaints we investigated were upheld.

This compares to an average of **63%** in similar organisations.

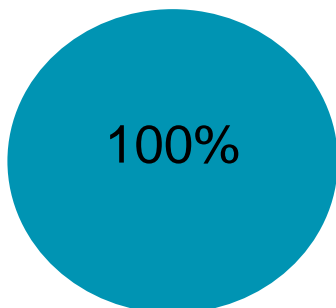
**2**  
upheld decisions

This is 2.5 upheld decisions per 100,000 residents.

The average for authorities of this type is 1.2 upheld decisions per 100,000 residents.

Statistics are based on a total of **4** investigations for the period between 1 April 2023 to 31 March 2024

### Compliance with Ombudsman recommendations



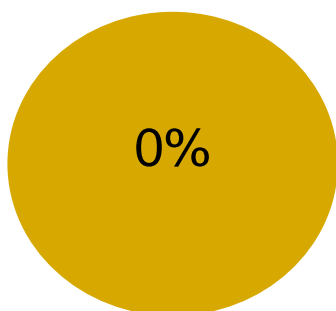
In **100%** of cases we were satisfied the organisation had successfully implemented our recommendations.

This compares to an average of **99%** in similar organisations.

Statistics are based on a total of **1** compliance outcome for the period between 1 April 2023 to 31 March 2024

- Failure to comply with our recommendations is rare. An organisation with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.

### Satisfactory remedy provided by the organisation



In **0%** of upheld cases we found the organisation had provided a satisfactory remedy before the complaint reached the Ombudsman.

This compares to an average of **21%** in similar organisations.

**0**  
satisfactory remedy decisions

Statistics are based on a total of **2** upheld decisions for the period between 1 April 2023 to 31 March 2024

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## COMMITTEE WORK PROGRAMME – SEPTEMBER 2024

|                               |  |
|-------------------------------|--|
| <b>Head of Service:</b>       | Andrew Bircher, Interim Director of Corporate Services |
| <b>Report Author:</b>         | Will Mace, Business Assurance Manager                  |
| <b>Wards affected:</b>        | (All Wards)  |
| <b>Appendices (attached):</b> | None   |

### Summary

This report presents the Committee with its annual Work Programme.

### Recommendation (s)

#### The Committee is asked to:

- (1) Note and agree the ongoing Work Programme as presented in Section 2.

## 1 Reason for Recommendation

- 1.1 Paragraph 4.6 of the Constitution states that the Committee “can scrutinise decisions made by the Full Council or policy committees”<sup>1</sup>. Paragraphs 1.3(i) and 1.3(iii) of Annex 4.6 of the Council Operating Framework also states that the Committee “will be responsible for arranging the overview and scrutiny functions on behalf of the council” as well as “approving an annual overview and scrutiny Work Programme”.<sup>2</sup>

## 2 Background

- 2.1 The committee Work Programme is presented below. The programme includes reports that relate to the committee’s areas of responsibility, as stipulated in its terms of reference.<sup>3</sup>

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<sup>1</sup>See *Constitution of Epsom and Ewell Borough Council*, p.3. Online available: <https://democracy.epsom-ewell.gov.uk/documents/s27178/Constitution%20of%20Epsom%20and%20Ewell%20Borough%20Council.pdf> [Last accessed 18/05/2023]

<sup>2</sup> See *Council Operating Framework, Annex 4.6: Overview, Audit and Scrutiny*, p.1. Online available: <https://www.epsom-ewell.gov.uk/sites/default/files/documents/council/about-council/governance/Annex%204-6%20-%20Overview%20Audit%20and%20Scrutiny.pdf> [Last accessed 18/05/2023].

<sup>3</sup> See *Audit and Scrutiny Committee-Terms of Reference*, Online available:

2.2 Work Programme:

| Meeting |                   | Agenda  |
|---------|-------------------|---|
| Past    | 28 March 2024     | <ul style="list-style-type: none"> <li>• Internal Audit: Annual Plan 2024-2025 &amp; Internal Audit Charter</li> <li>• Internal Audit: Progress Report - March 2024</li> <li>• External Audit Update</li> <li>• Review of the Council's Scheme of Delegation</li> <li>• Performance and Risk Report – March 2024</li> <li>• Committee Annual Report 2023-2024 (to be presented to Full Council)</li> <li>• Regulation of Investigatory Powers Act (2000) Annual Report</li> <li>• Annual Complaints Report<sup>4</sup></li> <li>• Work Programme</li> </ul> |
| Past    | 25 July 2024      | <ul style="list-style-type: none"> <li>• External Audit Update – 2023/24 Audit Plan</li> <li>• Internal Audit: Annual Report &amp; Opinion 2023-2024</li> <li>• Internal Audit: Progress Report – July 2024</li> <li>• Annual Governance Statement 2023-2024</li> <li>• Performance and Risk Report – July 2024 and Four-Year Plan (2020-2024) progress report</li> <li>• Use of Delegated Powers Annual Report</li> <li>• LGSCO &amp; ICO Updates– July 2024</li> <li>• Productivity Plan</li> <li>• Work Programme</li> </ul>                             |
| Present | 26 September 2024 | <ul style="list-style-type: none"> <li>• Revenue Budget Monitoring – Quarter 1 (2024-2025)</li> <li>• Capital Budget Monitoring – Quarter 1 (2024-2025)</li> <li>• Internal Audit: Progress Report – September 2024</li> <li>• Performance &amp; Risk Report - September 2024</li> <li>• Local Government and Social Care Ombudsman Annual Letter</li> <li>• LGSCO &amp; ICO Updates - September 2024</li> <li>• IPCO Inspection 2024</li> <li>• Work Programme</li> </ul>  |
| Future  | 14 November 2024  | <ul style="list-style-type: none"> <li>• Code of Corporate Governance Annual Review</li> <li>• Counter-Fraud and Whistleblowing Annual Report (inc. gifts and hospitality)</li> <li>• External Audit Update (if required)</li> <li>• Revenue Budget Monitoring -Quarter 2 (2024-2025)</li> <li>• Capital Budget Monitoring -Quarter 2 (2024-2025)</li> <li>• LGSCO &amp; ICO Updates – November 2024</li> <li>• Work Programme</li> </ul>   |

<https://democracy.epsom-ewell.gov.uk/mgCommitteeDetails.aspx?ID=157>

[Last accessed 18/05/2023].

<sup>4</sup> This report has been moved from November as the original author left the council in October 2023 and the work has been reassigned.

|        |                 |  |
|--------|-----------------|--|
| Future | 6 February 2025 | <ul style="list-style-type: none"> <li>• Community Safety Partnership Update</li> <li>• Revenue Budget Monitoring – Quarter 3 (2024-2025)</li> <li>• Capital Budget Monitoring – Quarter 3 (2024-2025)</li> <li>• External Audit Update</li> <li>• Equality and Diversity (inc. modern slavery) Annual Report</li> <li>• Internal Audit: Progress Report - February 2025</li> <li>• Performance and Risk Report – February 2025</li> <li>• LGSCO &amp; ICO Update – February 2025</li> <li>• Work Programme</li> </ul>   |
| Future | 27 March 2025   | <ul style="list-style-type: none"> <li>• Internal Audit: Annual Plan 2025-2026 &amp; Internal Audit Charter</li> <li>• Internal Audit: Progress Report - March 2025</li> <li>• External Audit Update</li> <li>• Performance and Risk Report – March 2025</li> <li>• Committee Annual Report 2024-2025 (to be presented to Full Council)</li> <li>• Regulation of Investigatory Powers Act (2000) Annual Report</li> <li>• Annual Complaints Report, including LGSCO and ICO Updates</li> <li>• Work Programme</li> </ul> |

### 3 Risk Assessment

Legal or other duties

#### 3.1 Equality Impact Assessment

3.1.1 No direct implications arising from this report.

#### 3.2 Crime & Disorder

3.2.1 The next annual scrutiny of the Community Safety Partnership is proposed to be held at the February 2025 committee meeting.

#### 3.3 Safeguarding

3.3.1 No direct implications arising from this report.

#### 3.4 Dependencies

3.4.1 The Committee does rely on some of the council's partners, and other committees, to deliver its work programme as proposed in Section 2 (e.g., internal and external audit, and the Community Safety Partnership).

#### 3.5 Other

3.5.1 No other direct implications arising from this report.

#### 4 Financial Implications

4.1 None for the purposes of this report.

4.2 **Section 151 Officer's comments:** None arising from the contents of this report.

#### 5 Legal Implications

5.1 None for the purposes of this report.

5.2 **Legal Officer's comments:** None arising from the contents of this report.

#### 6 Policies, Plans & Partnerships

6.1 **Council's Key Priorities:** The following Key Priorities are engaged:

- Effective Council: Strengthen the council's financial independence.
- Effective Council: Improve openness, transparency and customer service.
- Safe & Well: Work with partners to keep our borough safe and secure.

6.2 **Service Plans:** The report is not included within the current Service Delivery Plan, although several items contained within are.

6.3 **Climate & Environmental Impact of recommendations:** No direct implications arising from this report.

6.4 **Sustainability Policy & Community Safety Implications:** See Para. 3.2.1.

6.5 **Partnerships:** No direct implications arising from this report.

#### 7 Background papers

7.1 The documents referred to in compiling this report are as follows:

##### **Previous reports:**

- Committee Work Programme, *Audit and Scrutiny Committee*, 25<sup>th</sup> July 2024. Online available: <https://democracy.epsom-ewell.gov.uk/documents/s32046/Work%20Programme.pdf> [last accessed 13/08/2024].

##### **Other papers:**

- None.



**EXCLUSION OF PRESS AND PUBLIC**

Under Section 100(A)(4) of the Local Government Act 1972, the Committee may pass a resolution to exclude the public from the Meeting for Part Two of the Agenda on the grounds that the business involves the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A to the Act (as amended) and that pursuant to paragraph 10 of Part 2 of the said Schedule 12A the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

The following documents are included on Part Two of the agenda and have not been published:

|   |
|---|
| <b>Item 12 – Internal Audit: Progress Report – Appendix 2</b> |
|---|

|   |
|---|
| The report deals with information relating to the financial or business affairs of the Council. |
|---|

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## SIAP INTERNAL AUDIT PROGRESS REPORT - SEPTEMBER 2024

|                               |  |
|-------------------------------|--|
| <b>Head of Service:</b>       | Andrew Bircher, Interim Director of Corporate Services   |
| <b>Report Author:</b>         | Will Mace, Business Assurance Manager  |
| <b>Wards affected:</b>        | All Wards  |
| <b>Appendices (attached):</b> | <b>Appendix 1:</b> Internal Audit Progress Report – September 2024<br><b>Appendix 2:</b> Part 2 Exempt Paper |

### Summary

This report summarises progress against the Internal Audit Plan 2024-2025.

### Recommendation (s)

#### The Committee is asked to:

- (1) **Note the internal audit progress report 2024-2025 from Southern Internal Audit Partnership (SIAP) attached at Appendix 1.**

## 1 Reason for Recommendation

- 1.1 This Committee has overall responsibility for the audit and governance frameworks, including the functions of an audit committee.
- 1.2 The Committee receives regular internal audit progress reports which update the Committee on progress made against the annual audit plan and the outcomes of individual audits.

## 2 Background

- 2.1 Southern Internal Audit Partnership (SIAP) was appointed as the council's internal auditors from April 2019.
- 2.2 The Internal Audit Plan and Charter was endorsed by the Committee on 28 March 2024.

## 3 Internal Audit Plan 2024- 2025

- 3.1 The report attached at Appendix 1 outlines the progress made against the Internal Audit Plan 2024-2025 and analysis of live audit reports and outstanding management actions. Appendix 2 contains one management action update, which can be reviewed under Part 2 business, due to paragraph(s) 3 of Part 1 of Schedule 12A to the Local Government Act 1972 - Information relating to the financial or business affairs of any particular person (including the authority holding that information).

#### 4 Outstanding Management Actions

- 4.1 Section 4 of Appendix 1 contains details of outstanding management actions from previous audits. A breakdown of the overdue actions by priority is provided in the table below.

| Overdue actions by priority | This report | Previous report |
|-----------------------------|-------------|-----------------|
| High                        | 12          | 9               |
| Medium                      | 21          | 19              |
| Low                         | 4           | 7               |
| <b>Total</b>                | <b>37</b>   | <b>35</b>       |

Further verbal updates can be provided by officers during the meeting.

#### 5 Risk Assessment

Legal or other duties

- 5.1 Equality Impact Assessment

5.1.1 None for the purposes of this report.

- 5.2 Crime & Disorder

5.2.1 None for the purposes of this report.

- 5.3 Safeguarding

5.3.1 None for the purposes of this report.

- 5.4 Dependencies

5.4.1 None

- 5.5 Other

5.5.1 None for the purposes of this report.

## 6 Financial Implications

- 6.1 There are no financial implications in this report.
- 6.2 **Section 151 Officer's comments:** None arising from the contents of this report.

## 7 Legal Implications

- 7.1 There are no legal implications arising from this report.
- 7.2 **Legal Officer's comments:**

The council is required by statute (under the Regulations 3 & 5 of the Accounts and Audit Regulations 2015 and section 151 of the Local Government Act 1972) to have an adequate and effective internal audit function. Regulation 3 of the Accounts and Audit Regulations 2015 requires the council to ensure that it has a sound system of internal control which (a) facilitates the effective exercise of its functions and the achievement of its aims and objectives; (b) ensures that the financial and operational management of the authority is effective; and (c) includes effective arrangements for the management of risk. Regulation 5 of the Accounts and Audit Regulations 2015 requires the council to undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance.

In addition, the council must each financial year conduct a review of the effectiveness of the system of internal control and prepare an annual governance statement (Regulation 6 (1) of the Accounts and Audit Regulations 2015). SIAP are the appointed council's internal auditors. The purpose of this report is to detail the summary findings of completed audit reports and follow-up reviews since the report submitted to the last meeting of this Committee.

## 8 Policies, Plans & Partnerships

- 8.1 **Council's Key Priorities:** The following Key Priorities are engaged:
  - 8.1.1 Effective Council: Engaging, responsive and resilient Council.
- 8.2 **Service Plans:**
  - 8.2.1 The matter is included within the current Service Delivery Plan.
- 8.3 **Climate & Environmental Impact of recommendations:**
  - 8.3.1 No relevance for the purpose of this report.
- 8.4 **Sustainability Policy & Community Safety Implications:**

8.4.1 No relevance for the purpose of this report.

8.5 **Partnerships:**

8.5.1 The council's arrangements with partners, such as shared services, are considered within the remit of Internal Audit.

**9 Background papers**

9.1 The documents referred to in compiling this report are as follows:

**Previous reports:**

- Audit and Scrutiny Committee (2024) *Internal Audit Progress Report – July 2024*, 25<sup>th</sup> July 2024. Online available: <https://democracy.epsom-ewell.gov.uk/ieListDocuments.aspx?CId=157&MId=1629> [Last accessed: 13/08/2024].
- Audit and Scrutiny Committee (2024) *Internal Audit Plan 2024-2025 and Internal Audit Charter 2024-2025*, 28<sup>th</sup> March 2024. Online available: <https://democracy.epsom-ewell.gov.uk/ieListDocuments.aspx?CId=157&MId=1523> [Last accessed 13/08/2024].

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# Southern Internal Audit Partnership

Assurance through excellence  
and innovation

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## EPSOM & EWELL BOROUGH COUNCIL INTERNAL AUDIT PROGRESS REPORT 2024-25

**Prepared by: Natalie Jerams, Deputy Head of Partnership**

**August 2024**

Agenda Item 12  
Appendix 1

## 1. Role of Internal Audit

The requirement for an internal audit function in local government is detailed within the Accounts and Audit (England) Regulations 2015, which states that a relevant body must:

*‘Undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance.’*

The standards for ‘proper practices’ are laid down in the Public Sector Internal Audit Standards [the Standards – updated 2017].

The role of internal audit is best summarised through its definition within the Standards, as an:

*‘Independent, objective assurance and consulting activity designed to add value and improve an organisations’ operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes’.*

The Council is responsible for establishing and maintaining appropriate risk management processes, control systems, accounting records and governance arrangements. Internal audit plays a vital role in advising the Council that these arrangements are in place and operating effectively.

The Council’s response to internal audit activity should lead to the strengthening of the control environment and, therefore, contribute to the achievement of the organisations’ objectives.



## 2. Purpose of report

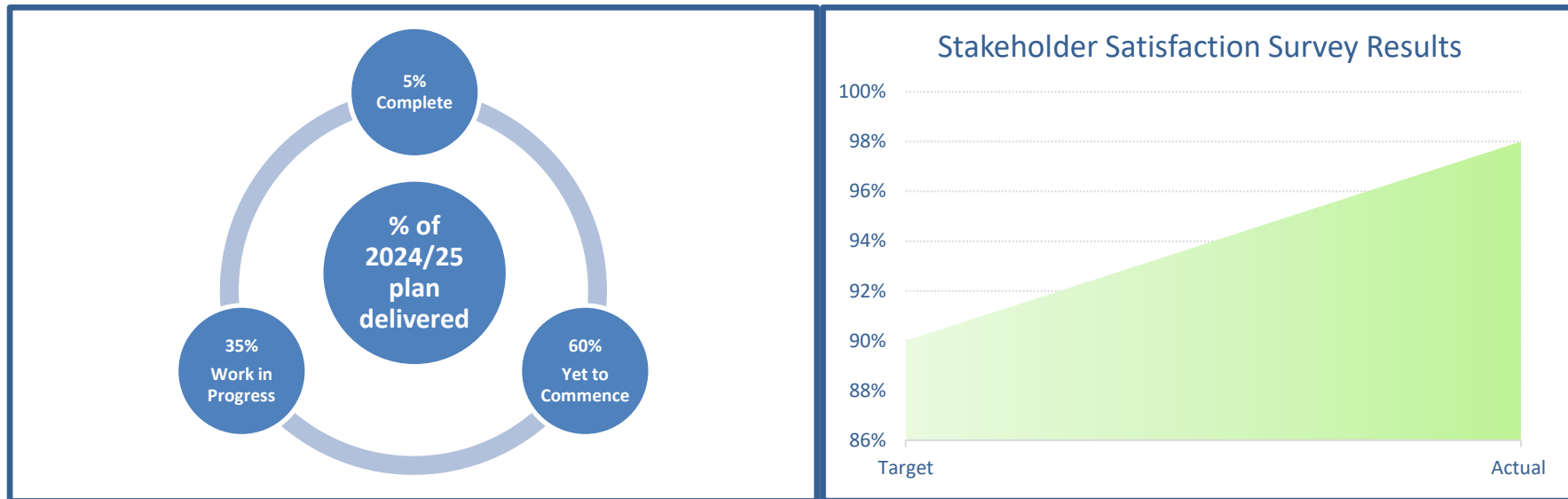
In accordance with proper internal audit practices (Public Sector Internal Audit Standards), and the Internal Audit Charter the Chief Internal Auditor is required to provide a written status report to ‘Senior Management’ and ‘the Board’, summarising:

- The status of ‘live’ internal audit reports;
- an update on progress against the annual audit plan;
- a summary of internal audit performance, planning and resourcing issues; and
- a summary of significant issues that impact on the Chief Internal Auditor’s annual opinion.

Internal audit reviews culminate in an opinion on the assurance that can be placed on the effectiveness of the framework of risk management, control and governance designed to support the achievement of management objectives of the service area under review. The assurance opinions are categorised as follows:

|                    |  |
|--------------------|--|
| <b>Substantial</b> | A sound system of governance, risk management and control exists, with internal controls operating effectively and being consistently applied to support the achievement of objectives in the area audited.  |
| <b>Reasonable</b>  | There is a generally sound system of governance, risk management and control in place. Some issues, non-compliance or scope for improvement were identified which may put at risk the achievement of objectives in the area audited.                     |
| <b>Limited</b>     | Significant gaps, weaknesses or non-compliance were identified. Improvement is required to the system of governance, risk management and control to effectively manage risks to the achievement of objectives in the area audited.                       |
| <b>No</b>          | Immediate action is required to address fundamental gaps, weaknesses or non-compliance identified. The system of governance, risk management and control is inadequate to effectively manage risks to the achievement of objectives in the area audited. |

### 3. Performance dashboard



#### Compliance with Public Sector Internal Audit Standards

An External Quality Assessment of the Southern Internal Audit Partnership was undertaken by the Institute of Internal Auditors (IIA) in September 2020. The report concluded:

*'The mandatory elements of the IPPF include the Definition of Internal Auditing, Code of Ethics, Core Principles and International Standards. There are 64 fundamental principles to achieve with 118 points of recommended practice. We assess against the principles. It is our view that the Southern Internal Audit Partnership conforms to all 64 of these principles. We have also reviewed SIAP conformance with the Public Sector Internal Audit Standards (PSIAS) and Local Government Application Note (LGAN). We are pleased to report that SIAP conform with all relevant, associated elements.'*


## 4. Analysis of 'Live' audit reviews

| Audit Review                | Report Date | Audit Sponsor | Assurance Opinion | Total Management Actions* | Not Yet Due  | Complete      | Overdue  |           |           |
|-----------------------------|-------------|---------------|-------------------|---------------------------|--------------|---------------|----------|-----------|-----------|
|                             |             |               |                   |                           |              |               | L        | M         | H         |
| Information Security        | 30/05/2022  | HofIT         | Reasonable        | 5(1)                      | 0(0)         | 4(1)          | 1        |           |           |
| Information Governance      | 30/05/2022  | HofP&CR       | Limited           | 10(3)                     | 0(0)         | 9(3)          |          | 1         |           |
| Environmental Health        | 06/06/2022  | HofH&C        | Reasonable        | 4(1)                      | 0(0)         | 3(1)          | 1        |           |           |
| Operational Services        | 01/11/2022  | HofOS         | Reasonable        | 4(3)                      | 0(0)         | 3(2)          |          |           | 1         |
| Affordable Housing Delivery | 03/01/2023  | HofH&C        | Limited           | 14(7)                     | 3(2)         | 11(5)         |          |           |           |
| Investments                 | 28/02/2023  | HofP&R        | Reasonable        | 2(0)                      | 0(0)         | 1(0)          |          | 1         |           |
| Council Tax                 | 02/02/2023  | HofF          | Reasonable        | 1(0)                      | 0(0)         | 0(0)          | 1        |           |           |
| Ethical Governance          | 11/05/2023  | HofP&CR       | Reasonable        | 11(2)                     | 0(0)         | 3(1)          | 1        | 6         | 1         |
| HR – Recruitment            | 10/01/2024  | ADofCS        | Reasonable        | 14(9)                     | 0(0)         | 3(3)          |          | 5         | 6         |
| Planning Enforcement        | 09/02/2024  | HofPD         | No                | 15(8)                     | 0(0)         | 12(5)         |          |           | 3         |
| Fraud Framework             | 15/03/2024  | ADofCS        | Reasonable        | 8(1)                      | 2(0)         | 6(1)          |          |           |           |
| Homelessness                | 16/04/2024  | HofH&C        | Reasonable        | 2(0)                      | 0(0)         | 1(0)          |          | 1         |           |
| HR Follow Up                | 24/04/2024  | ADofCS        | n/a               | 7(4)                      | 0(0)         | 5(4)          |          | 2         |           |
| Risk Management             | 21/05/2024  | ADofCS        | Reasonable        | 7(0)                      | 3(0)         | 3(0)          |          | 1         |           |
| Business Continuity         | 28/06/2024  | ADofCS        | Limited           | 7(1)                      | 3(0)         | 4(1)          |          |           |           |
| Main Accounting             | 26/07/2024  | CFO           | Limited           | 4(1)                      | 1(0)         | 3(1)          |          |           |           |
| Part 2 Exempt Items         |             |               |                   | 25(8)                     | 8(0)         | 12(7)         |          | 4         | 1         |
| <b>Total</b>                |             |               |                   | <b>140(49)</b>            | <b>20(2)</b> | <b>83(35)</b> | <b>4</b> | <b>21</b> | <b>12</b> |

\*Total number of actions (total number of high priority actions)

**5. Executive Summaries of reports published concluding a ‘Limited’ or ‘No’ assurance opinion**

There has been one new report finalised concluding a “limited” assurance opinion since the last progress report.

| Main Accounting   |  |  |
|---|--|--|
| Audit Sponsor   | Assurance opinion  | Management Actions   |
| Chief Finance Officer   |  | <div style="display: flex; justify-content: space-around; align-items: center;"> <div style="background-color: green; color: white; padding: 5px; text-align: center;">Low<br/>2</div> <div style="background-color: yellow; color: black; padding: 5px; text-align: center;">Medium<br/>1</div> <div style="background-color: red; color: white; padding: 5px; text-align: center;">High<br/>1</div> </div> |
| <p><b>Summary of key observations:</b></p> <p>The purpose of this audit was to review the key controls of the accounting system processes. The Council currently use ‘Civica Financials’ as their main accounting system. Our sample testing included transactions for both 2022/23 and 2023/24 financial years.</p> <p>Whilst a number of areas were assessed to be working well, including the processing and approval of journals, virements, management of interfaces and appropriate system access, there were also some areas of improvement identified that resulted in the overall limited assurance opinion.</p> <p>We were unable to confirm that regular bank reconciliations had been fully completed throughout 2023/24. Our testing of a sample of five end of week reconciliations during 2023/24 were all signed as being complete and authorised on the same date of the year (30<sup>th</sup> May 2024).</p> <p>Income that cannot be automatically coded by the system is posted to an income suspense account; this is reviewed daily by the exchequer team and investigated until the correct coding can be found for the income. We reviewed outstanding transactions within the suspense account, and found that as at 6 March 2024, 56 entries remain from 2023. We were advised that an error had occurred with a manual upload to the main accounting system in June 2023, this had caused a number of duplicated entries to be posted to the system and 41 of the 56 suspense account entries are in relation to this error. At the time of our review, we were advised that this issue had not yet been investigated and resolved.</p> <p>Our review of procedural documents and user guides available to support staff found that they were out of date and showed no evidence of regular review in place which has led to some information within the documentations to be incorrect.</p> |  |  |

## 6. Planning & Resourcing

The internal audit plan for 2024-25 was presented to the Senior Leadership Team and the Audit & Scrutiny Committee in March 2024.

The audit plan remains fluid to provide a responsive service that reacts to the changing needs of the Council. Progress against the plan is detailed within section 7.

## 7. Rolling Work Programme

| Audit Review   | Sponsor  | Scoping | Terms of Reference | Fieldwork | Draft Report | Final Report | Assurance Opinion | Comment                              |
|--|----------|---------|--------------------|-----------|--------------|--------------|-------------------|--------------------------------------|
| <b>Reviews carried forward from previous years</b>             |          |         |                    |           |              |              |                   |                                      |
| Main Accounting  | CFO      | ✓       | ✓                  | ✓         | ✓            | ✓            | <b>Limited</b>    |                                      |
| Information Governance   | ADofCS   | ✓       | ✓                  | ✓         | ✓            |              |                   |                                      |
| Capital Programme  | HofP&R   | ✓       | ✓                  | ✓         | ✓            |              |                   |                                      |
| Legacy Systems   | HofIT    | ✓       | ✓                  | ✓         | ✓            |              |                   |                                      |
| Accounts Payable   | HofF     | ✓       | ✓                  | ✓         | ✓            | ✓            | <b>Reasonable</b> |                                      |
| <b>2024/25</b>   |          |         |                    |           |              |              |                   |                                      |
| Relocation of Town Hall  | HofP&R   | ✓       | ✓                  | ✓         |              |              |                   | Close of audit held, report pending. |
| Human Resources  | HofHR&OD |         |                    |           |              |              |                   | Q4                                   |
| Financial Governance Framework (including Savings Realisation) | CFO      | ✓       | ✓                  | ✓         |              |              |                   | Close of audit held, report pending. |
| Decision Making & Accountability                               | HofLS    |         |                    |           |              |              |                   | Q3                                   |
| EEPIC – Governance Arrangements                                | HofP&R   |         |                    |           |              |              |                   | Q3                                   |
| IT Strategy  | HofIT    |         |                    |           |              |              |                   | Q3                                   |
| Data Backup & Ransomware Protection                            | HofIT    |         |                    |           |              |              |                   | Q4                                   |
| IT Follow Up   | HofIT    | ✓       | ✓                  | ✓         |              |              |                   | Q1                                   |
| Treasury Management  | CFO      | ✓       | ✓                  |           |              |              |                   | Q2                                   |

| Audit Review   | Sponsor  | Scoping | Terms of Reference | Fieldwork | Draft Report | Final Report | Assurance Opinion | Comment |
|--|----------|---------|--------------------|-----------|--------------|--------------|-------------------|---------|
| Housing Benefits                                     | CFO      |         |                    |           |              |              |                   | Q4      |
| Payroll  | HofHR&OD |         |                    |           |              |              |                   | Q4      |
| Playgrounds  | HofOS    | ✓       | ✓                  |           |              |              |                   | Q2      |
| Planning Enforcement                                 | HofPD    |         |                    |           |              |              |                   | Q4      |
| Tree Management                                      | HofPD    |         |                    |           |              |              |                   | Q3      |
| Asset Management –<br>Management of Leases and Rents | HofP&R   |         |                    |           |              |              |                   | Q4      |
| Housing Allocations Policy                           | HofH&C   |         |                    |           |              |              |                   | Q3      |
| Env Health – Food Hygiene                            | HofH&C   | ✓       | ✓                  | ✓         | ✓            |              |                   | Q1      |
| Safeguarding   | HofH&C   |         |                    |           |              |              |                   | Q3      |
| Follow Up  | Various  | ✓       | ✓                  | ✓         |              |              |                   | Q2      |
| EWDC Conservators Account                            | CFO      | ✓       | ✓                  | ✓         | n/a          | ✓            | n/a               | Q1      |

| Audit Sponsor |   |         |  |
|---------------|---|---------|--|
| ADofCS        | Acting Director of Corporate Services       | ADofEHR | Acting Director of Environment, Housing & Regeneration |
| HofPD         | Head of Place Development                   | HofOS   | Head of Operational Services                           |
| HofHR&OD      | Head of HR and OD                           | HofP&R  | Head of Property & Regeneration                        |
| CFO           | Chief Finance Officer                       | HofF    | Head of Finance  |
| HofLS         | Head of Legal Services & Monitoring Officer | HofIT   | Head of IT   |
| HofH&C        | Head of Housing & Community                 | HofP&CR | Head of Policy & Corporate Resources (vacant)          |

### 8. Adjustment to the Internal Audit Plan

There have been no adjustments to the 2024/25 plan to date.

## Overdue 'High Priority' Management Actions

## Operational Services – Reasonable Assurance

**Observation:**

The service does not currently have a consistent method of ensuring that garden waste is only collected for households that hold a current subscription.

240-litre brown garden waste bins cost £62.70 each per year and there are in the region of 12,000 subscribers.

Due to the increasing numbers of subscribers, the original methods of tracking this have become unsustainable and have since ceased, with action being taken instead on a case by case basis as cases with no subscription come to the teams attention.

We have been advised that the service has already recognised this risk prior to the audit and have obtained a new electronic in-cab system, which will inform operatives who has a subscription in each road, allowing them to more easily filter out the bins that should not be collected. There has been a delay to the implementation for the garden waste service due to Covid-19 and other service implementation priorities, but it is planned for this to be put in place in 2023.

| Management Action                                   | Original Due Date | Revised Due Date                | Latest Service Update From Action Owner  |
|---|-------------------|---------------------------------|--|
| Launch My Council Services module for garden waste. | 31.05.2023        | 30.09.2024<br><b>31.01.2025</b> | At present there is not a launch date for the collections module of the garden waste MCS module because there is a need to focus first on the back-office (contracts and payments) functions due to the impending loss of CRM. The back-office modules are due for launch during September/October so work will then start on the collections module thereafter. |

**Ethical Governance – Reasonable Assurance**

**Observation:**

Training records are held within an e-learning system. We reviewed reports from this system which documented completion of training related to ethical governance and behaviours. Our review highlighted that more than 50% of training was noted as outstanding.

The Business Assurance Manager advised that there is currently a technical issue within the system whereby if completion dates are revised then they are lost – deeming this record unusable at the moment. We were further advised that the Council has introduced a workaround to manage this until the e-learning system is fixed, and that policy documentation will be updated to reflect the workaround.

Due to the timing of this review, we were not in a position to test the effectiveness of the workaround.

| Management Action  | Original Due Date | Revised Due Date                              | Latest Service Update From Action Owner                   |
|--|-------------------|---|---|
| Complete the technical fix, relating to accurately recording completion dates, with our e-learning provider. | 30.06.2023        | 31.03.2024<br>30.06.2024<br><b>30.09.2024</b> | Development work agreed and currently being scheduled in. |

**HR Recruitment – Reasonable Assurance**

**Observation:**

We asked five Recruiting Managers who have had recruitment activities during 2022/23 to advise whether they understand how to use ATS effectively. Three managers responded to our queries.

Managers confirmed in their responses that they are not aware of any guidance for using ATS. However, most confirmed that the system is intuitive and user friendly. Managers advised that they look for guidance to be on the intranet but could not find any.

One Manager advised that they are not aware if they have access to the system and had not managed recruitment using it.

| Management Action  | Original Due Date | Revised Due Date | Latest Service Update From Action Owner   |
|--|-------------------|------------------|---|
| To work with the Communications team to ensure that the guidance available in respect of recruitment and the ATS is widely publicised. | 30.06.2024        | 31.12.2024       | A review of recruitment including the ATS will be undertaken by the People and OD Business Partner who will be joining in September 2024. |



| <p><b>Observation:</b><br/>                 Training needs are not documented for staff and managers to cover training on the ATS and recruitment process. Our survey found that the Recruiting Managers do not receive training on the ATS.</p>   |                   |                  |   |
|--|-------------------|------------------|---|
| Management Action  | Original Due Date | Revised Due Date | Latest Service Update From Action Owner   |
| To ensure that training in the use of the ATS (as part of wider recruitment training) is covered as part of mandatory induction processes for new managers.  | 30.06.2024        | 31.12.2024       | A review of recruitment including the ATS will be undertaken by the People and OD Business Partner who will be joining in September 2024. |
| <p><b>Observation:</b><br/>                 The Data Retention Policy at the Council states that managers should hold documents and notes on unsuccessful applicants for six months after the appointment decision has been made.</p> <p>We contacted five Recruiting Managers who had carried out recruitment between 1 April 2022 - 31 March 2023, of which three responded. We found that:</p> <ul style="list-style-type: none"> <li>• One Manager held copies of documents which related to recruitments in January and February 2023 and therefore is in compliance with the Data Retention Policy.</li> <li>• One Manager held documents from July and September 2022, which therefore exceeds the six months retention and is non-compliant with the Data Retention Policy.</li> <li>• One Manager had made three recent recruitments but had not retained any documentation to support the process and therefore was also non-compliant with the Data Retention Policy.</li> </ul> <p>Our testing confirmed that ATS automatically locks recruitment records after the six months retention period is exceeded to ensure compliance with the Data Retention Policy.</p> |                   |                  |   |
| Management Action  | Original Due Date | Revised Due Date | Latest Service Update From Action Owner   |
| To ensure that there is clear reference to data retention in the updated Recruitment and Selection Procedure.  | 30.06.2024        | 31.12.2024       | HR Policy Review underway.  |
| To ensure that data retention is addressed as part of the induction process for new managers and in subsequent training in relation to recruitment and use of the ATS.   | 30.06.2024        | 31.12.2024       | People and OD Business Partner will join in September 24 and will review induction process for new managers.                              |
| To ensure that all interview documentation is returned to HR following interviews and scanned electronically.  | 30.06.2024        | 31.12.2024       | Interview documentation is requested on the REC09. Process for review and chase to be developed and implemented.                          |

|  |            |            |  |
|--|------------|------------|--|
| HR Workplan to be updated to include a monthly requirement for data cleansing. | 30.06.2024 | 30.11.2024 | Head of People and OD to review this action. |
|--|------------|------------|--|

**Planning Enforcement – No Assurance**

**Observation:**

The published Local Enforcement Plan requires the following:

- A written acknowledgement to be sent to the complainant within the first five working days detailing the prioritisation of the case.
- Complainants to be informed at each key stage of the process, or at least every eight weeks, and to be informed of the final outcome of the complaint.

We identified the following issues in the sample of 25 cases tested:

- One of the cases received on 9<sup>th</sup> March 2023 was not acknowledged until 20<sup>th</sup> July 2023, over four months later.
- There was no evidence found of the complainant being updated every eight weeks for 14 of the 15 open cases.

Out of 10 closed cases, five had no evidence of the outcome being communicated.

| Management Action             | Original Due Date | Revised Due Date                              | Latest Service Update From Action Owner |
|-------------------------------|-------------------|---|---|
| Written manual/process notes. | 31.03.2024        | 31.05.2024<br>31.08.2024<br><b>04.11.2024</b> | Draft created. Completion imminent.     |

**Observation:**

The Town and Country Planning Act 1990 states that every planning authority shall maintain a register of enforcement notices, enforcement warning notices, stop notices and breach of conditions notices. It also states that the register shall be made available for inspection by the public at all reasonable hours (section 188b).

We were advised by the Technical Validation Supervisor (Development Management) that a paper register was held at the Council offices that are accessible during normal opening hours, however this has not been updated since 2019. Since then, enforcement notices have been made available online through an interface between Uniform and the planning website. The planning website includes a search function to enable the public to search for enforcement cases. However, the online planning website does not include all enforcement notices issued as Uniform has not been kept up to date.

Therefore, the Council does not have an up-to-date register of all enforcement notices issued.

| Management Action  | Original Due Date | Revised Due Date                              | Latest Service Update From Action Owner |
|--|-------------------|---|---|
| Write process notes to ensure future Notices are correctly stored. | 31.03.2024        | 31.05.2024<br>31.08.2024<br><b>04.11.2024</b> | Draft created. Completion imminent.     |

**Observation:**

We selected a sample of five enforcement notices to determine what follow up action had been taken following the notice being issued, and what evidence of this was maintained, with the following results:

- We were advised by the Enforcement Officer that one case had been complied with on 4 January 2023, however there was no evidence held on Uniform to confirm this.
- In two further cases there was no further updates recorded in Uniform since 2021. For one case an update in June 2021 states that the property had been sold, and there is no further action recorded in Uniform. For the other, it was noted that a planning application had been submitted. However, a search of the planning database confirmed that the planning application had been refused in August 2022. Although we noted that a photograph had been uploaded to this case in early August 2021, there is no explanation of what this is for, and whether the enforcement notice had been complied with. Both of these cases are also still open.
- For a fourth case, dating from 2018, it was recorded in Uniform that the enforcement action had been completed and the case was closed. However, there was no documentary evidence of how compliance had been verified.
- The remaining case originated from 2022, and we were informed by the Enforcement Officer that, although the remedial action had not been carried out, a variation of conditions application had been submitted which would resolve the case. Therefore no further progress could be made with this case until the application was decided.

Therefore, there is limited evidence of whether follow up action has been taken for four of the five cases where enforcement notices had been issued.

| Management Action   | Original Due Date | Revised Due Date                              | Latest Service Update From Action Owner |
|---|-------------------|---|---|
| Process notes referred to in action 6.2 will include section relating to post enforcement matters to ensure Notices are correctly followed up to ensure compliance. | 31.03.2024        | 31.05.2024<br>31.08.2024<br><b>04.11.2024</b> | Draft created. Completion imminent.     |

## Overdue 'Low &amp; Medium Priority' Management Actions

| Audit Review           | Report Date | Opinion    | Priority | Due Date   | Revised Due Date                              |
|------------------------|-------------|------------|----------|------------|---|
| Information Security   | 30.05.2022  | Reasonable | Low      | 31.12.2022 | 30.05.2024<br>01.09.2024<br><b>31.12.2024</b> |
| Information Governance | 30.05.2022  | Limited    | Medium   | 23.12.2022 | 01.04.2024<br><b>31.10.2024</b>               |
| Environmental Health   | 06.06.2022  | Reasonable | Low      | 31.10.2022 | 31.03.2025                                    |
| Council Tax            | 02.02.2023  | Reasonable | Low      | 31.03.2024 | 30.06.2024<br><b>31.10.2024</b>               |
| Investments            | 28.02.2023  | Reasonable | Medium   | 31.03.2024 | 31.03.2025                                    |
| Ethical Governance     | 11.05.2023  | Reasonable | Medium   | 31.07.2023 | 31.03.2024<br><b>30.09.2024</b>               |
|                        |             |            | Medium   | 31.03.2024 | 30.06.2024<br><b>30.09.2024</b>               |
|                        |             |            | Medium   | 31.03.2024 | 30.06.2024<br><b>30.09.2024</b>               |
|                        |             |            | Medium   | 31.03.2024 | 30.06.2024<br><b>30.09.2024</b>               |
|                        |             |            | Medium   | 31.03.2024 | 30.06.2024<br><b>30.09.2024</b>               |
|                        |             |            | Medium   | 31.03.2024 | 30.06.2024<br><b>30.09.2024</b>               |
|                        |             |            | Low      | 31.12.2023 | 31.03.2024<br>30.06.2024<br><b>30.09.2024</b> |
| HR Recruitment         | 10.01.2024  | Reasonable | Medium   | 30.06.2024 | 31.10.2024                                    |
|                        |             |            | Medium   | 30.06.2024 | 31.12.2024                                    |

| Audit Review    | Report Date | Opinion    | Priority | Due Date   | Revised Due Date  |
|-----------------|-------------|------------|----------|------------|-------------------|
|                 |             |            | Medium   | 30.06.2024 | 31.12.2024        |
|                 |             |            | Medium   | 30.06.2024 | 31.03.2025        |
|                 |             |            | Medium   | 30.06.2024 | 31.03.2025        |
| Homelessness    | 16.04.2024  | Reasonable | Medium   | 30.06.2024 | 31.10.2024        |
|                 |             |            | Medium   | 30.09.2022 | 31.01.2025        |
| HR Follow Up    | 24.04.2024  | n/a        | Medium   | 30.06.2022 | 31.08.2024        |
|                 |             |            |          |            | <b>31.12.2024</b> |
| Risk Management | 21.05.2024  | Reasonable | Medium   | 31.08.2024 | 31.10.2024        |

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