

# Standards and Audit Committee

**Tuesday 24 July 2018 at 7.30pm**

**Council Chamber  
Runnymede Civic Centre, Addlestone**

## **Members of the Committee**

Councillors M G Nuti (Chairman), D E Anderson-Bassey (Vice-Chairman), A Alderson, M D Cressey, S L Dennett, J R Furey, Mrs Y P Lay, P Snow, P J Taylor and A P Tollett.

In accordance with Standing Order 29.2 any non-member of the Committee who is considering attending the meeting should first request the permission of the Chairman.

## **A G E N D A**

### **Notes:**

- i) Any report on the Agenda involving confidential information (as defined by section 100A(3) of the Local Government Act 1972) must be discussed in private. Any report involving exempt information (as defined by section 100I of the Local Government Act 1972), whether it appears in Part 1 or Part 2 below, may be discussed in private but only if the Committee so resolves.
- ii) The relevant "background papers" are listed after each report in Part 1. Enquiries about any of the Agenda reports and background papers should be directed in the first instance to **Miss C Pinnock, Democratic Services, Law and Governance Business Centre, Civic Centre, Station Road, Addlestone (Tel: Direct Line: 01932 425627). (email: [clare.pinnock@runnymede.gov.uk](mailto:clare.pinnock@runnymede.gov.uk)).**
- iii) Agendas and Minutes are available on a subscription basis. For details, please ring Mr B A Fleckney on 01932 425620. Agendas and Minutes for all the Council's Committees may also be viewed on [www.runnymede.gov.uk](http://www.runnymede.gov.uk).
- iv) In the unlikely event of an alarm sounding, members of the public should leave the building immediately, either using the staircase leading from the public gallery or following other instructions as appropriate.
- v) **Filming, Audio-Recording, Photography, Tweeting and Blogging of Meetings**

Members of the public are permitted to film, audio record, take photographs or make use of social media (tweet/blog) at Council and Committee meetings provided that this does not disturb the business of the meeting. If you wish to film a particular meeting, please liaise with

the Council Officer listed on the front of the Agenda prior to the start of the meeting so that the Chairman is aware and those attending the meeting can be made aware of any filming taking place.

Filming should be limited to the formal meeting area and not extend to those in the public seating area.

The Chairman will make the final decision on all matters of dispute in regard to the use of social media, audio-recording, photography and filming in the Committee meeting.

## **LIST OF MATTERS FOR CONSIDERATION**

### **PART I**

#### **Matters in respect of which reports have been made available for public inspection**

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### **PART II**

#### **Matters involving Exempt or Confidential Information in respect of which reports have not been made available for public inspection.**

a) Exempt Items

10.	ADDLESTONE ONE RISK REGISTER UPDATE	12
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b) Confidential Items

(No items to be considered under this heading)

**1. FIRE PRECAUTIONS**

The Chairman will read the Fire Precautions, which set out the procedures to be followed in the event of fire or other emergency.

**2. NOTIFICATION OF CHANGES TO COMMITTEE MEMBERSHIP**

**3. MINUTES**

To confirm and sign the Minutes of the Meeting held on 5 June 2018, previously circulated to all Members in July 2018.

**4. APOLOGIES FOR ABSENCE**

**5. DECLARATIONS OF INTEREST**

If Members have an interest in an item please record the interest on the form circulated with this Agenda and hand it to the Legal Representative or Democratic Services Officer at the start of the meeting. A supply of the form will also be available from the Democratic Services Officer at meetings.

Members are advised to contact the Council's Legal section prior to the meeting if they wish to seek advice on a potential interest.

Members are reminded that a non pecuniary interest includes their appointment by the Council as the Council's representative to an outside body and that this should be declared as should their membership of an outside body in their private capacity as a director, trustee, committee member or in another position of influence thereon.

Members who have previously declared interests which are recorded in the Minutes to be considered at this meeting need not repeat the declaration when attending the meeting. Members need take no further action unless the item in which they have an interest becomes the subject of debate, in which event the Member must leave the room if the interest is a disclosable pecuniary interest or if the interest could reasonably be regarded as so significant as to prejudice the Member's judgement of the public interest.

**6. EXTERNAL AUDIT INTERNATIONAL STANDARDS ON AUDITING (ISA) 260 REPORT (RESOURCES)**

**Synopsis of report:**

**To note the report by the Council's External Auditor on any matters arising from the Audit of the 2017/18 Statement of Accounts and to invite Members to make any comments they might wish, to be reported to Corporate Management Committee.**

**Recommendation(s):**

**None. This report is for information.**

**1. Context of report**

1.1 The External Auditor has concluded the examination of the Statement of Accounts for 2017/18 and has issued an ISA 260 report giving an opinion on the Statement of Accounts and a "Value for Money" judgement.

1.2 International Standards on Auditing are issued by the International Auditing and Assurance Board and contain principles and procedures with which external auditors are required to comply when carrying out an audit of financial statements. The ISA 260 deals with matters the external auditor wishes to bring to the attention to those charged with governance. The report allows the Council to consider any issues raised from the Audit before the External Auditor finalises the opinion and certifies the 2017/18 statement.

2. **Report**

2.1 The Council's appointed External Auditor (KPMG) will present the ISA 260 report to the meeting of this Committee.

2.2 Members are invited to make any comments on their report. These will be reported verbally to Corporate Management Committee on 26 July 2018 by the Corporate Director of Resources.

2.3 The external auditor's report is to follow.

**(For information)**

**Background papers**

None stated.

7. **INTERNAL AUDIT PROGRESS REPORT 2018/19 (TIAA)**

**Synopsis of report:**

**To inform Members on the progress made by TIAA, the Council's internal auditors, on progress to date with the 2018/19 Internal Audit Annual Plan.**

**Recommendation(s):**

**None: The report is for information.**

1. **Context of report**

1.1 Attached at Appendix 'A' is TIAA's Internal Audit Progress Report for 2018/19.

2. **Report**

2.1 The report identifies the audits which have been completed since the meeting of this Committee in June 2018 for the 2018/19 planned audits.

2.2 There have not been any changes to the 2018/19 audit plan.

3. **Resource implications**

3.1 The audit service is budgeted for in the Council's annual budgets, with a small contingency to cover unforeseen audits.

4. **Legal implications**

4.1 None.

5. **Equality implications**

5.1 None.

**(For information)**

**Background papers**

Relevant Internal Audit working files and reports

**8. COMPLAINTS AND COMPLIMENTS 1 APRIL – 31 MAY 2018 (LAW AND GOVERNANCE)**

**Synopsis of report:**

**To provide Members with a summary of the complaints and compliments received from 1 April to 31 May 2018.**

**Recommendation(s):**

**None. This report is for information.**

**1. Context of Report**

1.1 The Council maintains a database of formal complaints which have been recorded (including those in which the Local Government and Social Care Ombudsman (LGSCO) has been involved), what they relate to and how they have been resolved. We maintain a similar database for compliments that have been recorded.

**2. Report**

2.1 The Council's Complaints Procedure regards complaints as 'an expression of dissatisfaction with a Council's action or omission, whether justified or not'. Requests for services, information and explanations of Council policy are not generally regarded as complaints.

2.2 Members are updated on complaints and compliments received at each scheduled meeting of this Committee rather than following the corporate KPI model or the financial year.

2.3 There were 12 formal complaints and 7 compliments recorded between 1 April and 31 May 2018.

2.4 In the last reporting period there were roughly half the amounts of both complaints and compliments.

2.5 Of the 12 complaints received, there were 2 upheld. These were for Revenues and Benefits and Elections and were administrative errors which have been rectified. 6 complaints were not upheld, one of which was withdrawn by the complainant and the remaining 4 are in the process of being dealt with.

2.6 Although two complaints were received by Corporate Services (i.e. they were sent to the Chief Executive), they were about other service areas; therefore the figures have been included in those Business Centres.

2.7 The table below shows the number of entries in each register from 1 June 2017 to 31 May 2018.

## Complaints and Compliments

Business Centre	Complaints 2017			Totals by Business Centre	Complaints 2018	
	June - Aug	Sept - Oct	Nov - Dec		Jan - Mar	April - May
Corporate Services	1	4	0	<b>5</b>	2	1
Community Development	1	2	2	<b>5</b>	2	0
Environmental Services	5	5	4	<b>14</b>	4	1
Housing	4	7	4	<b>15</b>	9	3
Law and Governance	0	0	0	<b>0</b>	1	1
Planning	3	5	4	<b>12</b>	7	3
Resources	3	4	0	<b>7</b>	5	3
<b>Totals</b>	<b>17</b>	<b>27</b>	<b>14</b>		<b>30</b>	<b>12</b>

2.8 There were 7 compliments received between 1 April and 31 May 2018. These were for Refuse and Recycling (4) and 1 each for Planning, Green Space and Housing.

Business Centre	Compliments 2017			Totals by Business Centre	Compliments 2018	
	June - Aug	Sept - Oct	Nov - Dec		Jan - Mar	April - May
Corporate Services	0	0	0	<b>0</b>	0	0
Community Development	1	2	2	<b>5</b>	0	1
Environmental Services	3	1	5	<b>9</b>	10	4
Housing	3	0	0	<b>3</b>	5	1
Law and Governance	3	0	0	<b>3</b>	0	0
Planning	0	0	0	<b>0</b>	0	1
Resources	6	3	1	<b>10</b>	1	0
<b>Totals</b>	<b>16</b>	<b>6</b>	<b>8</b>		<b>16</b>	<b>7</b>

2.9 At the last meeting Members thought it would be interesting to see a breakdown of complaints and compliments by Ward. This is set out below for the whole year 1 June 2017 – 31 May 2018.

2.10 We received 100 complaints and 53 compliments. Where a Business Centre only received compliments from a particular ward these are shown in bold. i.e. no bold means they received both complaints and compliments.

Ward	Number of Complaints	Number of Compliments	Business Centres
Addlestone North	14	6	Community Development Environmental Services Housing Law and Governance Planning Resources
Addlestone Bourneside	7	6	Housing Environmental Services <b>Law and Governance</b> Resources
Chertsey Meads	4	0	Housing Resources
Chertsey St Ann's	9	7	Community Development Corporate Services Environmental Services Housing Law and Governance Resources
Chertsey South and Row Town	4	10	Housing Environmental Services <b>Law and Governance</b> Resources
Egham Hythe	5	2	Community Development Environmental Services Housing Planning
Egham Town	11	3	Corporate Services Housing Environmental Services Planning Resources
Englefield Green East	3	5	Community Development <b>Environmental Services</b> Planning Resources



<b>Ward</b>	<b>Number of Complaints</b>	<b>Number of Compliments</b>	<b>Business Centres</b>
Englefield Green West	6	3	<b>Community Development</b> Environmental Services Housing Planning Resources
Foxhills	7	2	Community Development Housing Environmental Services Planning
New Haw	3	1	Housing Resources
Thorpe	10	1	<b>Community Development</b> Corporate Services Environmental Services Planning Resources
Virginia Water	1	1	Environmental Services
Woodham	3	2	Environmental Services Planning Resources
Out of Borough	7	3	<b>Community Development</b> Corporate Services Housing <b>Law and Governance</b> Planning Resources
Unknown (not recorded)	6	1	Community Development Environmental Services Planning Resources

2.11 The recording and periodic review of complaints and compliments is a valuable tool for the Council to use to review performance and improve the delivery of services.

2.12 Members asked at the last meeting whether it was possible to identify any trends or problem areas. There appears to be a broad range of issues raised as complaints from wards. Those areas where there are relatively few Council Housing properties like Thorpe and Virginia Water, have not attracted any complaints regarding Housing for example. However, when one considers that we have 2,804 properties in the Housing portfolio and the total number of complaints relating to Tenancy Management and Maintenance was only 10 and 9 respectively and many of these were actually complaints about neighbours, it is a very good reflection of our

Housing Business Centre. The enforcement hot spots in the borough like Thorpe and Foxhills account for some of the complaints in these areas. However, given the volume of work that Planning and indeed all our Business Centres deal with, the overall picture is positive.

- 2.13 We do tend to receive a number of complaints about issues beyond our control. For example Housing and Council Tax related legislation, the application of central Government policy, Council procedures etc. People complain about administrative errors and the conduct of some of our contractors – i.e. quality of work or advice. We also receive complaints about how complaints have been handled or the length of time taken to resolve something. These tend to be sent direct to the Chief Executive. We do not get many complaints about individual members of staff; where we have it is generally because they do not agree with a decision an Officer has made or an action taken that is legitimate or in line with Council policy.
- 2.14 Compliments are also a useful performance tool. They highlight when things are working well and can be used to identify good working practices which can be shared across the organisation.
- 2.15 Over the year individual staff have been thanked for their time and professionalism in 'going the extra mile' to explain procedures, assist with individual queries and concerns and provide excellent customer service. In particular Refuse, Recycling and Street Cleansing staff appear many times in the spreadsheet, especially in the autumn, the same individuals across Housing, Licensing, Customer Services and Planning are singled out for their helpfulness and efficiency. Where Business Centres have worked together for example in response to traveller incursions people have taken the trouble to thank each Business Centre. For example, Planning Enforcement, Legal and the Green Space team.

### **3. Policy framework implications**

- 3.1 Members approved a new Customer Service Charter in December 2016. Officers had anticipated that this would go live early in the new financial year. However, this has been delayed. Under the new Complaints Procedure the response time for formal complaints will be reduced from 10 to 5 working days.

### **4. Resource implications**

- 4.1 Responsibility for overseeing the registers of compliments and complaints is an important part of Corporate Governance and is undertaken by an Officer in Democratic Services on behalf of the Monitoring Officer and met from within existing resources. Accurate completion of the registers is the responsibility of those designated Officers across the organisation. There are a number of Officers that have access to the registers which spreads the workload.

### **5. Equality implications**

- 5.1 Although Officers endeavour to collect data that might enable us to identify whether a complainant, or satisfied customer for that matter, has a protected characteristic for equality monitoring purposes, in practice hardly anyone is prepared to divulge such information. Consequently, it is impossible to say whether any particular group is disadvantaged.
- 5.2 In this period no complaints were recorded as being relevant to a protected characteristic.

**(For information)**

### **Background papers**

The Complaints and Compliments Registers held on the Council's feedback drive and relevant (part exempt) emails in Democratic Services Outlook folders.

**9. EXCLUSION OF PRESS AND PUBLIC**

**OFFICERS' RECOMMENDATION that -**

**the press and public be excluded from the meeting during discussion of the following report under Section 100A(4) of the Local Government Act 1972 on the grounds that the report in question would be likely to involve disclosure of exempt information of the description specified in paragraphs 1 and 3 of Part 1 of Schedule 12A of the Act.**

**(To resolve)**

**Part II**

**Matters involving Exempt or Confidential Information in respect of which reports have not been made available for public inspection.**

a) Exempt Items

**10. ADDLESTONE ONE – RISK REGISTER UPDATE**

b) Confidential Items

(No items to be considered under this heading)

# Standards and Audit Committee

**Tuesday 24 July 2018**

## Appendices

<u>Appendix</u>	<u>Report</u>	<u>Page</u>
A	Internal Audit Progress Report	Numbered separately



**Runnymede Borough Council**

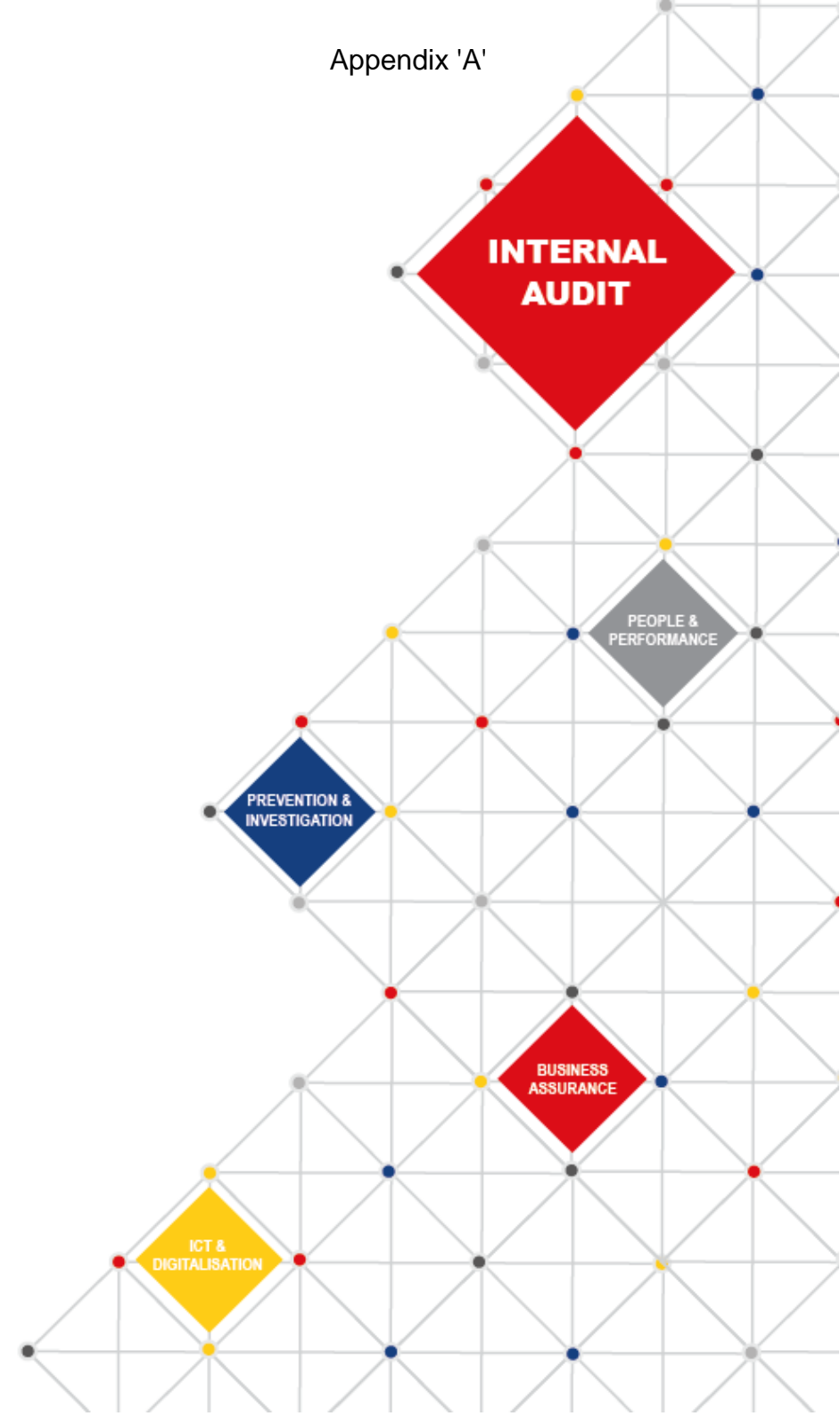
**Internal Audit Progress Report 2018/19**

**Standards and Audit Committee 24 July  
2018**

**FINAL**

**2018/19**

Appendix 'A'



## INTRODUCTION

1. This summary report provides the Standards and Audit Committee with an update on the progress of our work at Runnymede Borough Council as at 29 June 2018.

## PROGRESS AGAINST THE 2018/19 ANNUAL PLAN

2. Our progress against the Annual Plan for 2018-19 is set out in Appendix A. There were no audits completed in the period that had either a priority one or priority two recommendation.

## EMERGING GOVERNANCE, RISK AND INTERNAL CONTROL RELATED ISSUES

4. We have not identified any emerging risks which could impact on the overall effectiveness of the governance, risk and internal control framework of the organisation.

## AUDITS COMPLETED SINCE THE LAST REPORT TO COMMITTEE

5. The table below sets out details of audits finalised since the previous meeting of the Standards and Audit Committee.

Review	Evaluation	Key Dates			Number of Recommendations			
		Draft issued	Responses Received	Final issued	1	2	3	OEM*
Commercial Property Redevelopment	Substantial	29/05/18	29/05/18	01/06/18	-	-	-	-
Addlestone Town Centre Redevelopment	Substantial	15/05/18	15/05/18	21/05/18	-	-	-	-

\*Organisational Efficiency Matters (OEM). These are best practice or value for money issues identified during the audit

## CHANGES TO THE ANNUAL PLAN 2018/19

6. There are no changes proposed to the Annual Plan at this time.

**FRAUDS/IRREGULARITIES**

7. We have not been advised of any frauds or irregularities in the period since the last summary report was issued.

**LIAISON**

8. We continue to liaise with the Corporate Director of Resources on a regular basis

**PROGRESS ACTIONING PRIORITY 1 RECOMMENDATIONS**

9. We have not made any further Priority 1 recommendations (i.e. fundamental control issue on which action should be taken immediately) since the previous progress report.

**RESPONSIBILITY/DISCLAIMER**

10. This report has been prepared solely for management's use and must not be recited or referred to in whole or in part to third parties without our prior written consent. The matters raised in this report not necessarily a comprehensive statement of all the weaknesses that exist or all the improvements that might be made. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any other purpose. TIAA neither owes nor accepts any duty of care to any other party who may receive this report and specifically disclaims any liability for loss, damage or expense of whatsoever nature, which is caused by their reliance on our report.

## Progress against the Annual Plan for 2018/19

System	Planned Quarter	Days	Current Status	Comments	Date last time audited
Business Continuity	1	6	In Progress		20 May 2016
Data Protection	1	6			8 May 2017
HR - Recruitment	1	6	In Progress		Not previously audited
Whistle Blowing follow up	1	3			N/A
Community Transport	1	5	Client has asked for further postponement	Brought forward from 2017/18	17 February 2016
Housing Enforcement	1	6		Brought forward from 2017/18	Not previously audited
Sheltered Centres	1	5	Draft report issued 3 July 2018	Brought forward from 2017/18	Not previously audited
Building Services	1	5	In Progress – fieldwork complete		28 October 2015
Runnymede Travel Initiative	2	5	In Progress		20 July 2015
Enforcement	2	6			Not previously audited
Community Grants	2	5	In Progress		11 August 2015
Housing Rents	2	8			26 April 2018 (annual audit)
Housing Repair and Maintenance	2	8			6 December 2016
Benefits and Council Tax Support	3	10			Q3 Annual audit
NDR	3	11			Q3 annual audit
Council Tax	3	11			Q3 annual audit
Accounts Payable (Creditors)	3	6			Q3 annual audit
Accounts Receivable (Debtors)	3	6			Q3 annual audit
Income – Cash and Bank	3	6			Q3 annual audit



System	Planned Quarter	Days	Current Status	Comments	Date last time audited
Payroll	3	11			Q3 annual audit
Budgetary Control	3	6			Q3 annual audit
Project Management Toolkit	3	5			Not previously audited
Addlestone One (Town Centre Redevelopment)	4	6			Previously twice a year
Commercial Property	4	11			Now an annual audit
Commercial Rents	4	6			Now an annual audit
Procurement / Contracts	4	6			2 May 2018
ICT Audit (to be confirmed)	4	6			
ICT Audit (to be confirmed)	4	6			
ICT Audit (to be confirmed)	4	6			
Follow up	Q1/2 (19/20)	6		Follow up of all 2018/19 recommendations	N/A
<b>Total</b>		<b>198</b>			

**KEY:**

	=	To be commenced
	=	Site work commenced
	=	Draft report issued
	=	Final report issued