

# Standards and Audit Committee

**Tuesday 27 November 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**

**Please note this agenda is in the new format  
containing the appendices after each report**

### **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**

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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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8.	COMPLAINTS AND COMPLIMENTS 1 AUGUST – 30 SEPTEMBER 2018	18
9.	EXCLUSION OF PRESS AND PUBLIC	24

### **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.	COMPLAINTS AND COMPLIMENTS – EXEMPT APPENDIX 1	25
11.	ADDLESTONE ONE RISK REGISTER UPDATE	35

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 Meetings held on 18 September and 24 September 2018, previously circulated to all Members in October 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. 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 September 2018 for the 2018/19 planned audits.

2.2 There has been one additional audit added to the 2018/19 audit plan and two deletions as follows.

- Additional Audit - Housing Planning Section 106 – 8 days
- Audit deleted – Data Protection (A GDPR ICT audit has just completed and is included in the Appendix)
- Audit deleted – Members ICT (It was felt time allocated to this review could be better spent in other ICT related areas)

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



**Runnymede Borough Council**

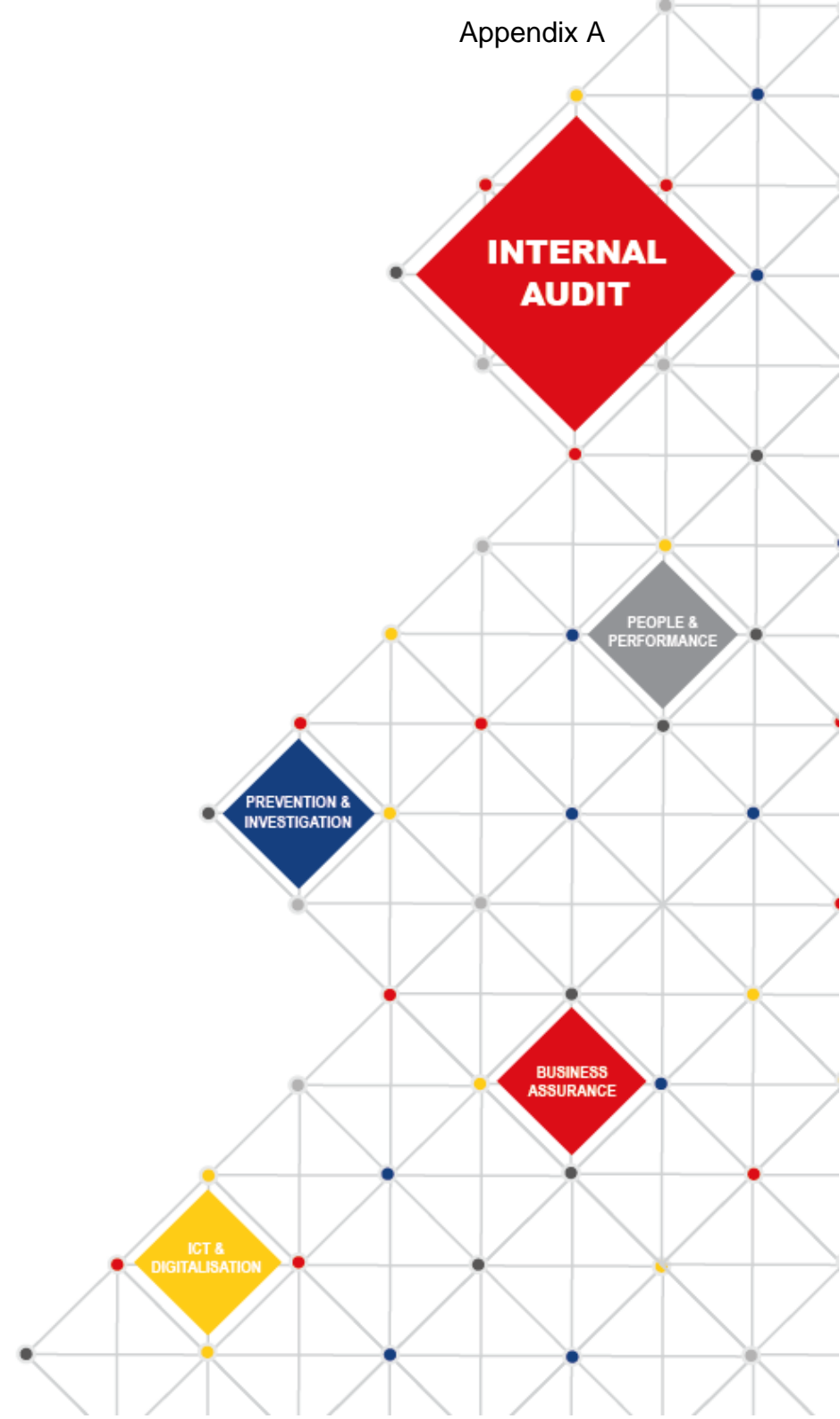
**Internal Audit Progress Report 2018/19**

**Standards and Audit Committee**

**27 November 2018**

**FINAL**

**2018/19**



**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 6 November 2018.

**PROGRESS AGAINST THE 2018/19 ANNUAL PLAN**

2. Our progress against the Annual Plan for 2018-19 is set out in Appendix A. All Priority 1 and 2 recommendations made to the final reports identified in Section 4 below and their management responses are shown at Appendix B.

**EMERGING GOVERNANCE, RISK AND INTERNAL CONTROL RELATED ISSUES**

3. 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**

4. 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			
		Start date	Draft issued	Responses Received	Final issued	1	2	3	OEM*
ICT - Cyber Security (2017/18)	Reasonable	2017***	01.10.18	17.10.18	22.10.18	-	2	1	2
ICT - General Data Protection Regulation Preparedness (2017/18)	Reasonable	2017***	05.08.18	25.09.18	28.09.18	-	1	3	-
ICT – Project Management Function (2017/18)	Substantial	2017***	25.9.18	25.9.18	22.10.18**	-	-	2	-
Building Services	Substantial	June 2018	17.08.18	03.09.18	05.09.18	-	-	1	-

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



\*\*Delay caused by Management queries arising that required to be resolved

\*\*\* These ICT audits started in 2017 but due to a number of factors, which would have included both availability of auditor and of ICT auditor, have not completed until 2018.

## **CHANGES TO THE ANNUAL PLAN 2018/19**

5. There is three approved changes to the Annual Plan:

- Additional audit – Housing Planning Section 106 – 8 days.
- Audit deleted – Members ICT – 6 days (The time identified for this audit will be better spent on increasing the review time for the other ICT audits)
- Audit deleted – Data Protection – 6 days (The ICT Data Protection audit has only just been finalised – see section 4 above)

## **FRAUDS/IRREGULARITIES**

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

## **LIAISON**

7. 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 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


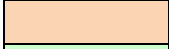

System	Planned Quarter	Days	Current Status	Comments	Date last time audited
Business Continuity	1	6	In Progress (report being drafted)		20 May 2016
Data Protection	1	6	Audit delayed by TIAA pending ICT General Data Protection Regulation audit outcome	Audit deleted	8 May 2017
HR - Recruitment	1	6	In Progress (report being drafted)		Not previously audited
Whistle Blowing follow up	1	3	Final report issued 23 July 2018		N/A
Community Transport	1	5	Client has asked for further postponement due to unforeseen high workload and staff shortages. Start date agreed as 17 December 2018	Brought forward from 2017/18 due to TIAA rearranging auditors for this audit but now further delayed by client	17 February 2016
Housing Enforcement	1	6	Trying to get a start date with new Head of Housing	Brought forward from 2017/18 due to TIAA rearranging auditors for this audit	Not previously audited
Sheltered Centres	1	5	Final report issued 15 August 2018	Brought forward from 2017/18 due to TIAA rearranging auditors for this audit	Not previously audited
Building Services	1	5	Final report issued 5 September 2018		28 October 2015
Runnymede (Yellow Buses) Travel Initiative	2	5	Draft report issued 20 September 2018		20 July 2015
Planning Enforcement	2	6	Start date to be confirmed - on hold at the request of the client pending the outcome of the broader O & S service review of the Planning department.		Not previously audited
Community Grants	2	5	Final report issued 14 August 2018		11 August 2015
Housing Rents	2	8	Audit to be undertaken in quarter 3 alongside financial systems audits. Start date agreed as 14 January 2019		26 April 2018 (annual audit)
Housing Repair and Maintenance	2	8	In progress		6 December 2016
Benefits and Council Tax Support	3	10			Q3 Annual audit

System	Planned Quarter	Days	Current Status	Comments	Date last time audited
NDR	3	11			Q3 annual audit
Council Tax	3	11			Q3 annual audit
Accounts Payable (Creditors)	3	6	In progress start date 30 October 2018		Q3 annual audit
Accounts Receivable (Debtors)	3	6	In progress start date 5 November 2018		Q3 annual audit
Income – Cash and Bank	3	6	Start date 5 February 2019		Q3 annual audit
Payroll	3	11	Start date 26 November 2018		Q3 annual audit
Budgetary Control	3	6	Start date 19 November 2018		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
Housing Section 106	4	8		Additional audit to plan	Not previously audited
ICT -Change Management & Control	4	6			
ICT - Mobile device security & management	4	6			
ICT - Members ICT	4	6		Audit Deleted	
Follow up	Q1/2 (19/20)	6		Follow up of all 2018/19 recommendations	N/A
<b>Total</b>		<b>207</b>			

KEY:

  = To be commenced



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



## Recommendations – Priority 1 and 2 recommendations

Audit Report: ICT Cyber Security  
Report Issued: 22 October 2018

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
1	Directed	Key policy documents may be out of date.	Relevant policy documents be reviewed and brought up to date.	2	<i>ICT will be working with the Information Governance and Data Protection Officers to rationalise the current policies.</i>	March 2019	HoIT
2	Directed	The firewall policy document lacked any content.	The firewall policy document be completed as soon as possible.	2	<i>This will be addressed as part of the rationalisation of all current policies (above).</i>	March 2019	Infrastructure & Security Manager



**Audit Report: ICT GDPR Preparedness**  
**Report Issued: 28 September 2018**

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
1	Operational	There are still some departments that have not completed and returned an information asset register (IAR)	A deadline be set for the three outstanding (at the time of the audit) Information Asset Registers to be completed and returned to IG so they can be reviewed and assessed.	2	<p><i>Only two teams outstanding now:</i></p> <p><i>Engineering</i></p> <p><i>Building Services.</i></p>	30/11/18	A.F (IGO)



## 7. CORPORATE FRAUD AND FINANCIAL INVESTIGATIONS (RESOURCES)

### Synopsis of report:

**The Council proposes to work in partnership with Reigate & Banstead Borough Council's Investigations team to enhance resources available for an increasing need to work on fraud prevention.**

### Recommendation(s):

**that this Committee endorses the proposal to work in partnership with Reigate and Banstead Borough Council with regard to Fraud Investigation and recommends that the Business Case be approved by Corporate Management Committee in January 2019, as part of the budget setting process for 2019/20**

#### 1. Context of report

- 1.1 In 2014 the Government transferred responsibility for fraud investigation on housing benefit fraud to the Department for Works and Pensions. At that time the Council was aware of other ongoing fraud relating to housing tenancies, homelessness applications, Right to buy and single person discount on Council Tax.
- 1.2 The Council agreed to fund the Fraud Investigation Officer post in the Resources Directorate to combat fraud. The statistics in the report show the financial benefit to this Council (both HRA and General Fund), Surrey County Council and the wider "public purse", from early detection of attempted fraud.

#### 2. Report

##### Resources

- 2.1 Fraud has become much more prevalent over the past few years and our stand alone Officer has been successful in following up referrals from members of the public, elected Members and operational Officers (mainly Housing, Council Tax and Benefits). However, one Officer cannot cover all of the approaches made by households claiming homelessness and other potential fraud areas.
- 2.2 The Fraud and Financial Investigations Team at Reigate & Banstead Borough Council (RBBC) has been expanded to include a Fraud Manager, supported by:
  - 3 fraud investigation officers
  - 1 financial investigator, accredited by the National Crime Agency
  - 3 intelligence officers
  - 3 visiting officers
- 2.3 Other Officers in the RBBC finance section are also trained investigators and can provide additional support if needed.

### Investigations and legislation

2.4 There are a number of different types of fraud that affect Council services, including:

- Housing Tenancy
- Council Tax
- Business Rates
- Blue badge for disabled parking
- Council employees and contractor fraud, bribery or corruption
- money laundering

### Reactive fraud referrals

2.5 All referrals are scored using the National Intelligence Module to ensure that the information is dealt with appropriately. Each allegation is then reviewed to determine the offence category. The aim is to estimate the length of time the fraud has been going on and the potential financial gain to determine if the case should be dealt with through the criminal or civil route. Whichever route is chosen the evidence is gathered to the higher of the two standards, the criminal standard.

### Fraud prevention

2.6 The dedicated team of Intelligence and investigating Officers works alongside Housing Officers to reduce risk of fraud in the Council housing stock allocation process, homeless applications and the nominations processes.

2.7 The visiting team supports the Fraud Officers by completing visits to check property details are accurate, provide supporting evidence and information. They are trained in taking witness statements to support any future legal action.

### Financial investigations

2.8 From the outset of a case a review is undertaken by the Accredited Fraud Investigator (AFI) to examine any potential to recover monies that have been obtained fraudulently using the Proceeds of Crime Act 2002.

2.9 The use of the AFI means if a fraud is detected and the suspect has benefitted financially and has assets, these may be used to recover monies for the Council in the form of compensation and confiscation payments.

### Contracted systems included in the operations

2.10 The Investigations Team uses various systems to support their work, including:

- Andromeda – a tool for tracing and locating names, addresses, business links including aliases etc.
- Altia – a tool for completing schedules produced by the Accredited Fraud Investigator for all financial analysis undertaken.
- Experian Investigator online – the most detailed credit report undertaken on every allegation.

- OPUS – case management system which logs all evidence up to prosecution standard
- Trace IQ (Lexis Nexis) – tracing individuals contact details.
- Member of the National Anti-Fraud Network (NAFN) – this gives Officers access to a wide range of tracing services and authorisations.
- Member of the Surrey Counter Fraud Partnership gives access to the Surrey fraud data hub (Runnymede, Reigate and Banstead, four other districts and the County Council created this partnership.)
- Surveillance cameras for static and mobile surveillance.

### 3. Policy framework implications

3.1 Detection and prevention of fraud is implicit in the work of the Resources Department.

### 4. Resource implications

4.1 The table below is extracted from the Runnymede BC return to the Cabinet Office. The Government funded the first year of the Runnymede Fraud Officer. When the funding was withdrawn the Council agreed a self-financing resource which reduced spend on fraudulent single persons discount etc. but also avoided costs by preventing expenditure on fraudulent homelessness applications.

Fraud detected and prevented									
Financial values as assigned by the Cabinet office - value to the public purse									
	Tenancy HRA	Housing register	Homelessness	Right to buy	Business rates	C tax support	C tax discount	Other	TOTAL
	£	£	£	£	£	£	£	£	£
	Number	Number	Number	Number	Number	Number	Number	Number	Number
<b>April to Sept 2018</b>									
Referrals	802	118	211	30	3	204	87	9	1464
Investigations closed	119	117	198	60	3	191	85	8	781
Possitive outcomes	<b>18</b>	<b>39</b>	<b>58</b>	<b>6</b>	<b>1</b>	<b>50</b>	<b>25</b>	<b>1</b>	<b>198</b>
PROPERTIES RETURNED TO THE COUNCIL	15	4		1				1	21
Cabinet Office value placed on outcomes	£18,000	£18,000	£18,000	£77,900	£5,000	£405	£405	£0	
FINANCIAL VALUE	£270,000	£72,000	£1,044,000	£77,900	£5,000	£20,250	£10,125	£0	£1,499,275
2017/18	£488,796	£450,189	£468,000	£407,500	£10,415	£79,652	£14,339	£0	£1,918,891
<b>TOTAL</b>	<b>£758,796</b>	<b>£522,189</b>	<b>£1,512,000</b>	<b>£485,400</b>	<b>£15,415</b>	<b>£99,902</b>	<b>£24,464</b>	<b>£0</b>	<b>£3,418,166</b>

4.2 Reigate and Banstead District Council (RBDC) have made over £1m in savings for the Council in 2017/18 and continue the work in the current and future years. They have also been working with one other Surrey District Council and have so far made £702,000 in savings.

4.3 If approved, this Council's investment in the proposed future arrangements would require a new budget of £43,400, to be offset by a very cautious estimate on reduced expenditure, and new income is shown below:



	2018/19	4%
	£	£
Council tax	5,344,670	213,787
Business rates	1,902,000	76,080
	<u>7,246,670</u>	<u>289,867</u>
Housing General Fund - homelessness		
Property lease rentals	129,200	5,168
Bed and Breakfast	280,000	11,200
Magna carta Lettings	321,400	12,856
	<u>730,600</u>	<u>29,224</u>

- 4.4 If Corporate Management Committee approves the proposals, the tax collected and retained by Runnymede of £7.2 m will be increased by a further £290k. While it can be assumed costs will be saved in the HRA and avoided in the General Fund Homelessness budget, the only income budget affected is in the Resources Directorate in the sum of £290k with 43.4 k expenditure.

#### Contract monitoring

- 4.5 The service will be provided via a Service Level Agreement between Runnymede and Reigate & Banstead Councils. It is proposed that the Corporate Director of Resources is the lead contract monitoring officer for this Council.
- 4.6 The financial monitoring at a high level will be reported to Corporate Management Committee as part of the regular budget monitoring reports. Detailed monitoring of the performance of all fraud activity is reported to the Standards and Audit Committee.

#### **5. Legal implications**

- 5.1 All appropriate legislation is identified at the beginning of an investigation to ensure that all points are covered which meet the criminal standard of investigation. This is mainly the Fraud Act 2006. However, other Acts are identified to ensure a full and thorough investigation.
- 5.2 Investigations are compliant with the Criminal Procedures Investigations 1996, Police and Criminal Evidence Act (PACE) 1984, Local Government Finance Act 1972, Proceeds of Crime Act (POCA) 2002 and Regulation of Investigatory Powers (RIPA) 2000.
- 5.3 The Council will enter into a Service Level Agreement with RBBC if Corporate Management Committee approves the proposals which will also comply with the Council's Contract Standing Orders (para 2.4)

#### **6. Conclusions**

- 6.1 The arrangement will enhance our resources and provide some support and resilience to both Councils as well as build on the success of the current role in raising significant income for the Council.

- 6.2 This report is being presented to this Committee to seek endorsement of the proposal before it is submitted to Corporate Management Committee in January 2019.

**(To resolve)**

**Background papers**

Fraud working files

**8. COMPLAINTS AND COMPLIMENTS 1 AUGUST – 30 SEPTEMBER 2018 (LAW AND GOVERNANCE)**

**Synopsis of report:**

**To provide Members with a summary of the complaints and compliments received from 1 August – 30 September 2018 and reporting on matters raised at the last meeting of the Committee.**

**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 However, Members did ask at the last meeting if we could try and align with the KPI timetable and we can do so for the next scheduled meeting in January 2019 because we will reporting on October – December 2018 which is Quarter 3 of the Corporate timetable and the next meeting after that is scheduled for 5 June 2019 when we will report January – March 2019 (Quarter 4). Again, at the July 2019 meeting we can report April – June 2019 (Quarter 1). We only fall out of step by September but if Members are content to not report in September we can pick it up again at the November 2019 meeting to do July – September 2019 (Quarter 2).

- 2.4 We can use the September meeting for the annual report on Complaints and Compliments about Councillors and the annual Ombudsman report.
- 2.5 There were 27 formal complaints and 15 compliments recorded between 1 August – 30 September 2018. The table below shows the number of entries in each register from 1 June 2017 to 30 September 2018.

### Complaints and Compliments

Business Centre	Complaints 2017			Totals by Business Centre	Complaints 2018			
	June - Aug	Sept - Oct	Nov - Dec		Jan - Mar	April - May	June – July	Aug-Sept
Corporate Services	1	4	0	5	2	1	1	4
Community Development	1	2	2	5	2	0	1	3
Environmental Services	5	5	4	14	4	1	3	9
Housing	4	7	4	15	9	3	4	4
Law and Governance	0	0	0	0	1	1	0	0
Planning	3	5	4	12	7	3	3	5
Resources	3	4	0	7	5	3	1	2
<b>Totals</b>	<b>17</b>	<b>27</b>	<b>14</b>		<b>30</b>	<b>12</b>	<b>13</b>	<b>27</b>

- 2.6 As stated in paragraph 2.3 we will align with the Corporate KPIs going forward. For the purposes of 2018/19 so far the complaints fell into Quarters 1 and 2 as set out below:

Business Centre	Quarter 1	Quarter 2
Corporate Services	1	5
Community Development	0	4
Environmental Services	4	9
Housing	4	7
Law and Governance	1	0
Planning	6	4
Resources	4	2

- 2.7 Of the 27 complaints received in August and September, 7 were upheld, or partly so. 6 of those upheld were for Refuse and Recycling, Environmental Health, Corporate Services and Green Space although it should be noted that an equal number of complaints in these areas were not upheld. 18 complaints were not upheld, and there is one overdue in Corporate Services. In a Housing case which was not upheld the complainant was written to within the deadline to respond but to date no reply has been received so it remains 'open' pending a decision corporately whether if having taken reasonable steps to resolve a complaint and no reply is received a complaint can be 'written off.'

2.8 Complaints in this period whether upheld or not mainly related to refuse and recycling which tend to increase in the summer months as people become concerned about missed bins, which often are not missed but haven't been put out for collection in time. There were no particularly unusual complaints, except that 2 concerned the closure of Lloyds Bank in Addlestone which were addressed to us but not complaints about us. These were passed to Lloyds who responded to us and we forwarded the replies to the complainants. This matter was subsequently the subject of a petition presented to full Council in October and the Chief Executive has written a letter to Lloyds Bank expressing concern about closing the bank.

2.9 There were 15 compliments received between 1 August and 30 September 2018. Green Space attracted 7 compliments for dealing with recent unauthorised encampments and 2 for the borough's floral displays and the others were for Street Cleansing, Refuse and Environmental Health.

Business Centre	Compliments 2017			Totals by Business Centre	Compliments 2018			
	June – Aug	Sept - Oct	Nov - Dec		Jan - Mar	April - May	June - July	Aug-Sept
Corporate Services	0	0	0	<b>0</b>	0	0	0	0
Community Development	1	2	2	<b>5</b>	0	1	1	9
Environmental Services	3	1	5	<b>9</b>	10	4	1	6
Housing	3	0	0	<b>3</b>	5	1	4	0
Law and Governance	3	0	0	<b>3</b>	0	0	1	0
Planning	0	0	0	<b>0</b>	0	1	0	0
Resources	6	3	1	<b>10</b>	1	0	0	0
<b>Totals</b>	16	6	8		16	7	7	15

2.10 The breakdown of complaints and compliments by Ward now shows the position as at 30 September 2018. 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	4	0	Community Development Environmental Services Resources
Addlestone Bourneside	5	3	Housing <b>Community Development</b> Environmental Services

<b>Ward</b>	<b>Number of Complaints</b>	<b>Number of Compliments</b>	<b>Business Centres</b>
Chertsey Meads	4	3	Community Development Environmental Services Planning
Chertsey St Ann's	0	0	
Chertsey South and Row Town	0	3	<b>Housing Community Development</b>
Egham Hythe	2	1	Environmental Services Planning
Egham Town	3	2	Environmental Services Planning
Englefield Green East	2		Planning Environmental Services
Englefield Green West	3	2	Planning Housing Environmental Services <b>Community Development</b>
Foxhills	2	0	Housing Planning
New Haw	4	1	<b>Community Development</b> Commercial Services Planning
Thorpe	0	2	<b>Housing Law and Governance</b>
Virginia Water	0	1	<b>Community Development</b>
Woodham	0	0	
Out of Borough	4	1	Community Development <b>Environmental Services</b> Housing 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 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.

2.13 At the last meeting Members asked for a ‘snapshot’ of the Register for 2017/18 focusing on complaints received by Environmental Services, Housing and Planning. This is only available on-line as Exempt Appendix ‘1’ for non-Committee Members with a limited paper circulation.

2.14 By Business Centre the breakdown is as follows:

- Environmental Services – 18
- Housing – 24
- Planning – 19

2.15 To keep the analysis straightforward we have categorised the complaints by common theme as follows:

<b>Business Centre</b>	<b>Staff</b>	<b>Contractors</b>	<b>Council Policy and Decisions</b>	<b>Service delays and Standards</b>	<b>Another appeal process</b>	<b>Outside our remit</b>
<b>Environmental Services</b>	7	1	2	6	1	1
<b>Housing</b>	6	5	0	6	6	1
<b>Planning</b>	2	0	14	3	0	0

#### **Staff**

2.16 Generally complaints arose as a result of interactions with the public of a contentious nature for example challenging the issue of a PCN, traffic issues with refuse crews and others not liking the advice given by staff who are following our agreed procedures.

#### **Contractors**

2.17 These were mainly Housing Maintenance contractors and there was some overlap with service delays and standards. However, given the huge volume of work with which our contractors deal the complaint rate is very low and does not reflect badly on this Business Centre who do also get many compliments.

#### **Council Policy and Decisions**

2.18 The vast majority concerned planning applications and planning enforcement where a complainant has disagreed with a decision or Council policy; felt they should have been consulted or they disagreed with advice given.

#### **Another appeal process**

2.19 Looking at those complaints for 2017/18 we identified 7 that could have been dealt with by another reporting route. Therefore, Officers have taken steps to improve the Complaints page on the website to sign post people to the other reporting routes as an alternative to taking out a complaint where there is another option. For example, reporting missed bins, making representations with regard to Planning and Licensing applications or invoking a review in the various stages of Housing Solutions under the Homelessness Reduction Act 2017. The new complaints and compliments page is now live at

<https://www.runnymede.gov.uk/article/15100/Comments-complaints-and-compliments>

### **Outside our remit**

- 2.20 There were only 2 falling into this category and people were directed to the appropriate body. For example Surrey County Council, the Police or other enforcement authority.
- 2.21 There are currently 12 complaints overdue (going back to 22 August 2017). Officers have been asked to address all outstanding matters, although it is acknowledged that the further back they are the more difficult it is to reach a conclusion. Therefore, we are concentrating on those in 2018/19 (3) with an aim of moving complaints up the list of priorities with more frequent reminders. Their inclusion in the Corporate KPIs will also assist.

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

- 3.1 Officers have been asked corporately to review the decision to reduce the response time for formal complaints from 10 to 5 working days, i.e. leave it at 10 working days to give a more realistic timeframe.

### **4. Resource implications**

- 4.1 Officers have spent a significant amount of time analysing the raw data for this report. It was very easy to add the KPI reporting period to the spreadsheets.

### **5. Equality implications**

- 5.1 The Council has a duty under the Equality Act 2010 to promote and foster good relations between people who share a protected characteristic and those who do not. We should at all times act in a way that is non-discriminatory through our policies and procedures and interactions with people.
- 5.2 In the last reporting period there were no complaints or compliments identified as relevant to any of the protected characteristics.

### **(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)	<u>Exempt Items</u>	<b>Paras</b>
10.	<b>COMPLAINTS AND COMPLIMENTS – EXEMPT APPENDIX 1</b>	1 and 3
11.	<b>ADDLESTONE ONE – RISK REGISTER UPDATE</b>	1 and 3
b)	<u>Confidential Items</u>	

(No items to be considered under this heading)