

Standards and Audit Committee

Tuesday 17 September 2019 at 7.30pm

**Council Chamber
Runnymede Civic Centre, Addlestone**

Members of the Committee

Councillors M G Nuti (Chairman), J K Sohi (Vice-Chairman), M R Adams,
D E Anderson-Bassey, B A Clarke, M D Cressey, R J Edis, M T Harnden, M T Kusneraitis
and J J Wilson.

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).**
- 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.
- 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.

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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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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>	
11.	ADDLESTONE ONE RISK REGISTER	55
b)	<u>Confidential Items</u>	
	(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 Sub-Committee held on 22 July 2019, and those of the Meeting of the Committee held on 23 July 2019, as attached at Appendices 'A' and 'B'.

Runnymede Borough CouncilSTANDARDS (HEARINGS) SUB-COMMITTEE22 July 2019 at 6.30pm

Members of the Committee Present: Councillors M G Nuti (Chairman), A Alderson, J Sohi, and J Olorenshaw and Mr M Litvak (Independent person, non-voting role)

The meeting was also attended by Mr R Lingard, External Independent Investigating Officer, Mr M A Leo, Monitoring Officer and Councillors S Mackay, M Kusneraitis and J Wilson. Mr P Waddell also attended the meeting.

146 FIRE PRECAUTIONS

The procedures to be followed in the event of fire or other emergency were noted.

147 APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillor B Clarke, to whom best wishes were extended for a speedy recovery.

148 COMPLAINT AGAINST A MEMBER OF RUNNYMEDE BOROUGH COUNCIL

The parties present at the meeting were introduced to each other and the procedure for the meeting duly noted, including the preliminary steps taken by the Monitoring Officer to resolve the complaint informally in consultation with one of the Council's Independent persons.

Regarding the possible sanctions should he be found in breach of the code of conduct, Councillor Mackay stated that his view on potential sanctions would be the same as last time, given the outcome was likely to be the same.

Councillor Kusneraitis reminded the Committee that Councillor Mackay had been unable to contact the Investigating Officer until late in the process and that he had offered to 'shake hands' with former Councillor Waddell who had lodged the complaint but had not received a reply. He felt it was important to highlight Councillor Mackay's willingness to resolve the matter informally.

The Independent Investigating Officer was then invited to present his report.

The Sub-Committee confirmed that they had read the Investigating Officer's report. Therefore, he presented a summary, highlighting the subject of the complaint which was an email sent by Councillor Mackay on 18 March 2018 to a number of people including members of staff. Mr Lingard had interviewed both parties and concluded that the Code of Conduct was engaged as the email was sent in Councillor Mackay's capacity as a Councillor on Council business. Mr Lingard stated that he appreciated feelings were running high at the time and that he was not surprised things got a little out of hand but he considered Councillor Mackay's language to be inappropriate given the wide forum (audience) of the emails.

The Investigating Officer referred the Sub-Committee to section 9 of his report which were his summary and draft findings. He had sent his draft report to both parties,

receiving comments from both, details of which were set out in his report at section 10.

The Investigating Officer concluded that there was evidence that there had been breaches of paragraph 3 (1) and paragraph 3 (2) (e) of the Runnymede Member Code of Conduct concerning treating others with respect and bringing the office of a Councillor into disrepute. The Investigating Officer stressed that it was perfectly proper for Councillor Mackay to express his concerns and that he did not criticise him for standing up for what he believed to be right but he felt that the manner and means by which he voiced his concerns was intemperate.

The Chairman thanked the Investigating Officer for his report and invited questions of him from Councillor Mackay and/or the panel.

Councillor Kusneraitis, who was supporting Councillor Mackay with his case, provided some context to the email exchange between the parties. He referred to a heated discussion that had taken place at a Conservative Group meeting at which he and some of the Conservative Members of the Sub-Committee were present. He advised that some members of the Sub-Committee would therefore have been aware that the discussion started in the group meeting and spilled over into emails. It was noted that Councillor Mackay had copied in a wide audience as the email to which he was responding had also been sent to the same audience. Councillor Kusneraitis stated that neither party had behaved well. When asked if he had a direct question for Mr Lingard, he replied that as the matter had been investigated and dealt with within the Conservative Group/Association he wanted to be advised why it was now the subject of an investigation. He compared the situation with that of the previous hearing on 1 July 2019 where a matter had been dealt with elsewhere so was not considered but it seemed to be different in this circumstance. The Monitoring Officer confirmed that he was unaware that the matter had gone to the Conservative Association. Section 9.5 of the Investigator's report was referred to where it stated that 'two wrongs did not make a right.'

Councillor Kusneraitis sought clarification as to why the informal resolution and Councillor Mackay's offer to 'shake hands' had not gone ahead. The Monitoring Officer replied that he had broached the subject of Councillor Mackay making an apology not the scenario of both parties making a mutual apology.

Councillor Kusneraitis expressed disappointment that both parties did not make a mutual apology as that would have saved the cost of the current progress, the exact cost of which he had sought details of.

It was confirmed that the only subject of the Hearing was Councillor Mackay's email not those surrounding it. Councillor Mackay was aggrieved that his complaint made about former Councillor Waddell regarding the same chain of emails had not been progressed.

In respect of further questions, Councillor Kusneraitis queried why some information in the Investigator's report (which had been raised during his interview with former Councillor Waddell) which he believed not to be accurate or relevant had been included. Mr Lingard replied that either party could give such information as they chose but its significance was what he attached to it. In this instance he assured those present that he had attached no significance to it.

Mr Lingard re-iterated that his role was to look at the email, decide whether the code of conduct was engaged and whether a breach had occurred.

Councillor Kusneraitis stated that some of the relevant emails in the chain were missing which might put a different perspective on the matter. He also suggested that the Sub-Committee may have pre-judged the case because they were not willing to look at the full context of the case, including other emails which explained why Councillor Mackay had responded in the way he had and which had led to the Hearing taking place. The Chairman advised that they were not biased.

A Member of the Sub-Committee asked the Investigating Officer whether he had looked behind the emails to the situation which was also being discussed in the emails as it appeared to have a bearing, but he replied that it was not within his brief which was confined to the email of 18 March 2018.

Councillor Kusneraitis then queried the minutes of the last Hearing but was asked to raise that the next day when the full Committee was scheduled to meet.

Councillor Mackay was frustrated by the process and Councillor Kusneraitis felt that he was not receiving a fair hearing. Councillor Mackay was invited to present his case and produce such evidence that would support his case, but he felt that the decision had already been made so had nothing further to add.

The Standards (Hearings) Sub-Committee retired to consider the matter at 7.05pm and had regard to advice from the Independent Person during the course of their deliberations.

The meeting reconvened at 7.30pm.

The decision of the Sub-Committee was unanimous, as set out below and conveyed in person to those present:

“The panel would wish to make clear at the outset that its role in this matter is to consider the actions and behaviour of Cllr S Mackay. Whilst Cllr S Mackay may argue that it should consider the actions of another person that is not its role.

The role of the panel is to consider whether the actions of Cllr S Mackay and the content of the email he had sent breached the provisions of the Runnymede Member Code of Conduct and the standards of behaviour expected of an elected Runnymede Councillor.

The preliminary issue the panel had to consider was whether when the email was sent Cllr S Mackay was acting in his capacity as an elected Runnymede Councillor and therefore the Runnymede Member Code of Conduct was engaged.

The panel formed the view that Cllr S Mackay had been acting in his capacity as an elected Runnymede Councillor and the Runnymede Member Code of Conduct was engaged when the email was sent. This conclusion was reached on the following basis. Cllr S Mackay had sent the email in question from his Council provided email account and had signed it in his capacity as an elected Member. It was the view of the panel that when looking at the email in its entirety it was reasonable to reach the conclusion it had.

After having considered the report of the Investigating Officer, considered the comments made by Cllr S Mackay and received advice from the Independent Person the panel concluded that Cllr S Mackay had breached the Runnymede Member Code

of Conduct in two respects with regard to the email he had sent on the 18th March 2018, namely:

- (i) the whole tone of the email was intemperate and disrespectful and breached the General Obligation contained in paragraph 3 (1) of the Runnymede Member Code of Conduct to treat others with respect.
- (ii) that behaviour of Cllr S Mackay in writing an email in the terms he did breached the General Obligation contained in paragraph 3 (2) (e) of the Runnymede Member Code of Conduct to not conduct himself in a manner that could reasonably be regarded as bringing his office into disrepute.

The Localism Act 2011 which introduced the current regime for governing the conduct of elected Members does not set out any specific powers for local authorities to impose sanctions for a breach of the Member Code of Conduct. Any sanctions must comprise actions which are within the powers of the local authority to impose. Currently the following sanctions can be imposed by the panel if a Member is found to have breached the Member Code of Conduct:

1. Publish its findings in respect of the Member's conduct;
2. Report its findings to Council for information;
3. Recommend to the Member's Group Leader (or in the case of un-grouped Members, recommend to Council or to Committees) that he/she be removed from any or all Committees or Sub-Committees of the Council;
4. Instruct the Monitoring Officer to arrange training for the Member;
5. Recommend that the Member be removed from all outside appointments to which he/she has been appointed or nominated by the Council;
6. Withdraw facilities provided to the Member by the Council, such as a computer, website and/or email and Internet access; or
7. Exclude the Member from the Council's offices or other premises, with the exception of meeting rooms as necessary for attending Council, Committee and Sub-Committee meetings.

In some instances, where the Standards (Hearings) Sub-Committee conclude it is appropriate, the identity of an elected Councillor who is the subject of a complaint may be withheld.

The Standards (Hearings) Sub-Committee concluded that whilst it takes a dim view of any breach of the Runnymede Member Code of Conduct any sanction must be proportionate to the breach. This was a case where an elected Councillor had failed to exercise the appropriate standards when sending an email. The breaches were a failure to show appropriate respect for another person and bringing their office into disrepute.

Whilst the panel noted that Cllr S Mackay may have felt strongly about certain matters this was not a justification for failing to meet the appropriate standard of behaviour expected of an elected Councillor.

The Standards (Hearings) Sub-Committee resolved:

1. That given its consideration of this matter took place in public it would be an appropriate case where the identity of the elected Councillor involved should be made public.
2. The Member Code of Conduct had been engaged in relation to the email which had given rise to the complaint about Cllr S Mackay.

3. There had been two breaches of the Member Code of Conduct by Cllr S Mackay in respect of the email, namely:
 - (i) the whole tone of the email was intemperate and disrespectful and breached the General Obligation contained in paragraph 3 (1) of the Runnymede Member Code of Conduct to treat others with respect.
 - (ii) that behaviour of Cllr S Mackay in writing an email in the terms he did breached the General Obligation contained in paragraph 3 (2) (e) of the Runnymede Member Code of Conduct to not conduct himself in a manner that could reasonably be regarded as bringing his office into disrepute
4. The panel would publish its findings in respect of Cllr S Mackay's conduct.
5. The panel would report its findings to Full Council for information."

The Sub-Committee considered that on balance, Councillor Mackay had breached parts 3 (1) and 3 (2) (e) of the code of conduct and that sanctions 1 and 2 would be appropriate.

Councillor Mackay declined to comment. However, Councillor Kusneraitis said that they would take the comments of the Sub-Committee on board but that it was imbalanced for one party to be held to account whilst another party misbehaved.

The parties were thanked for their attendance and the Chairman confirmed that they would take on board Councillor Kusneraitis' comments and his request for such matters to be dealt with in a less costly and time consuming way.

RESOLVED that –

1. **given its consideration of this matter took place in public it would be an appropriate case where the identity of the elected Councillor involved should be made public.**
2. **The Member Code of Conduct had been engaged in relation to the email which had given rise to the complaint about Councillor Mackay.**
3. **There had been two breaches of the Member Code of Conduct by Councillor Mackay in respect of the email, namely:**
 - i) the whole tone of the email was intemperate and disrespectful and breached the General Obligation contained in paragraph 3 (1) of the Runnymede Member Code of Conduct to treat others with respect.**
 - ii) that behaviour of Councillor Mackay in writing an email in the terms he did breached the General Obligation contained in paragraph 3 (2) (e) of the Runnymede Member Code of Conduct to not conduct himself in a manner that could reasonably be regarded as bringing his office into disrepute**

4. **The panel would publish its findings in respect of Councillor Mackay's conduct.**
5. **The panel would report its findings to Full Council for information.**

Chairman

(The meeting ended at 7.35pm)

Runnymede Borough CouncilSTANDARDS AND AUDIT COMMITTEE23 July 2019 at 7.30pm

Members of the Committee Present: Councillors M Nuti (Chairman), J Sohi (Vice- Chairman), M Adams, D Anderson-Bassey, M Cressey, R Edis, M Harnden, M Kusneraitis and J Wilson

Members of the Committee absent: Councillor B Clarke and Mr M Litvak (Independent person)

Councillor J Olorenshaw also attended the meeting.

149 FIRE PRECAUTIONS

The Chairman read the procedures to be followed in the event of fire or other emergency.

150 CHAIRMAN'S ANNOUNCEMENT

Councillor Kusneraitis was welcomed to the Committee having recently replaced Councillor Dennett.

151 MINUTES

The Minutes of the meeting of the Committee held on 30 May 2019 and the Sub-Committee held on 1 July 2019 were confirmed and signed as correct records. Councillor Kusneraitis was asked to follow up a query he raised with regard to the Minutes of the Sub-Committee held on 1 July 2019 with Officers separately.

152 APOLOGIES FOR ABSENCE

Apologies for absence were recorded for Councillor B Clarke and there were no items of business for the Independent persons.

153 INTERNAL AUDIT PROGRESS REPORT FOR OUTSTANDING RECOMMENDATIONS

The Committee reviewed the 3 outstanding recommendations from completed audits, noting that 6, previously reported as outstanding, had either been completed or deemed no longer applicable. The outstanding recommendations concerned GDPR, risk management and Independent Retirement Living. Officers reported that of these, one was in the process of being implemented and the other 2 had made progress but had a revised implementation date.

It was suggested that staff resources were currently insufficient to complete the recommendations of the GDPR audit. However, Officers were asked to provide an update to the meeting of the Committee in September.

154 INTERNAL AUDIT PROGRESS REPORT 2019/20

The Committee noted progress with the 2019/20 audit plan, and an update with regard to the 7 outstanding audit reports from the 2018/19 plan.

TIAA confirmed that from the 2018/19 programme, the Business Continuity and Housing Repair and Maintenance audits, which appeared as being in draft form on the appendix had now been finalised. It was hoped to report on the remaining audits (HR Recruitment and Housing Rents) at the next meeting. Final reports had been issued for the Yellow Buses, Budgetary Control and Addlestone One, the latter would be looked at in detail at the next meeting.

From the 2019/20 programme, three audits had been finalised for Car Parking, Data Quality and Freedom of Information. In addition, the Governance audit and Planning Enforcement audits had been released in draft for Management Comments and the Local Plan audit was in progress. This would be reported on at the next meeting. It was agreed that a six-week turnaround from initial findings to the final report being issued was the target for all but the most complex audits.

It had been agreed to carry forward the audit on Commercial Property Redevelopment to 2020/21 as it had been audited in the first quarter of 2019, although Members were keen for it still to be done as it fed into the work of the relevant Member Working Group, as did Commercial Rents, Addlestone One and Planning Enforcement. Members noted that some of those requested were in the programme. An audit on the Depot had been deferred due to operational staffing issues.

Members reviewed two priority 2 recommendations from the Data Quality Audit and Officers were asked to consider the relevant assistance that could be given by Digital Services with regard to software systems and data quality and also consider local global data standard issues.

Officers agreed to review time devoted to financial systems audits that might be directed elsewhere and report back to the Committee in due course.

155 EXTERNAL AUDIT INTERNATIONAL STANDARDS ON AUDITING (ISA) 260 REPORT

Officers from the new external Auditors, BDO LLP, presented their first comprehensive Audit Completion Report (ISA 260 report to those charged with governance) on the Council's Statement of Accounts for the year ending 31 March 2019. This gave a positive opinion on both the accounts and their 'value for money' judgement. It was noted that BDO would issue an annual audit and inspection report for 2018/19 later in the year.

Officers from BDO reported that the audit had been conducted successfully and it was anticipated that an unmodified audit opinion and unqualified use of resources conclusion would be issued. It was noted that one or two matters were outstanding concerning Investment Property valuations and some testing and clearing issues but these were not considered to affect the overall positive results of the audit.

With regard to the audit risk overview, Officers from BDO had identified 2 errors that had been corrected with regard to PPE and investment property valuation and the pensions liability valuation. Points of discussion were to consider the impact of McCloud and GMP liabilities on pension liability and to confirm the appropriateness

of including the NHS appeals provision in the prior year which was considered very prudent. It was reported that management had made adjustments to the draft accounts that had reduced the Council's net assets by £1.757 million and decreased the surplus on the provision of services by £0.544 million. Officers would also report concerns raised with regard to the late notification of the liabilities with the Surrey Treasurers Association.

No issues had arisen with regard to financial reporting and BDO were content with the Annual Governance Statement. In respect of Management Override of Controls, Officers were pleased to report there was no indication of management bias in the accounting estimate, nor any unusual transactions which could be indicative of fraud.

BDO also reported favourably on the Council's systems with regard to Non Domestic Rates, Business rate appeals, non-collection of receivables, related party transactions, classification of financial instruments (IFRS 9) and revenue from contracts (IFRS 15).

With regard to control deficiencies and recommendations, two areas were highlighted. These were cash reconciliations and property valuations. In response, Officers confirmed that the Council was about to start the implementation of a new Income Management System and a review of the reconciliation processes to see how automation and streamlining could reduce what was currently a time consuming process. Some training of staff would be necessary to fulfil this objective. It was anticipated that improved communication with the external valuer and an adjustment in processes could assist more timely resolution of any issues arising.

Officers agreed to feedback comments raised by Members at the meeting to Corporate Management Committee later that week.

The Committee thanked BDO and RBC staff for their contribution to the positive outcome expressed in the report and looked forward to working closely with BDO in the future.

156 COMPLAINTS AND COMPLIMENTS – QUARTER 1, 2019/20

The Committee was updated on both the complaints and compliments registers for the period April – June 2019. There had been 19 formal complaints, the majority of which had not been upheld and 12 compliments received.

Officers reported that updated guidance had been issued to staff and after discussion with colleagues in Environmental Services and Housing only those complaints about contractors which overlapped with Council service provision would be included on the main register for greater accuracy. Members were assured however that contractors were being monitored carefully and a summary of such complaints would in future be reported annually. Staff had been asked to filter out complaints that were really service requests but maybe the wrong form had been used. More signposting on the Council's website had been added to assist internal and external users of the website.

Members were advised that the list of overdue complaints (since August 2017) had reduced from 14 to 9 and thanks were expressed to the new Corporate Head of Environmental Services who had, with colleagues, been proactive in resolving issues in his area.

The Committee were appreciative of additional information provided about how policies and procedures could be examined for improvement in the light of some complaints that had been received. It was noted that overall complaints were relatively low and Officers were commended for this.

Officers were asked to continue sharing 'lessons learned' with staff. In relation to sharing good practice, Officers were asked to consider re-introducing the staff suggestion scheme as the Committee was keen for staff to receive recognition for making improvements and putting forward good ideas.

Members were pleased with the range of compliments received for staff in Community Development, Housing, Independent Retirement Living and the DSO/Green Space, which demonstrated the value of having staff that were well versed and experienced in their area of expertise and who were openly caring and considerate with regard to the public and residents. Officers were asked to name staff that receive compliments in future reports.

Chairman

(The meeting ended at 8.30 pm)

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 FOR OUTSTANDING RECOMMENDATIONS (TIAA, Chris Harris)

Synopsis of report:

To inform Members on the progress made by Council Officers in implementing the recommendations made by TIAA, the Council's Internal Auditors, resulting from the internal audit work.

Recommendation(s):

None. This report is for information.

1. Context of report

1.1 Attached at Appendix 'C' is TIAA's Follow Up Report on Recommendations made following completion of the internal audit work. This exception report summarises outstanding recommendations as at September 2019.

2. Resource implications

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

3. Legal and Equality implications

3.1 None.

(For information)

Background papers

Relevant Internal Audit working files and reports

Runnymede Borough Council

Internal Audit Progress Report for Outstanding Recommendations

2019/20

August 2019

Executive Summary

Introduction

1. This summary report provides the Standards and Audit Committee with an update on the progress in implementing the priority 1, 2 and 3 recommendations arising in previous internal audit reports.
2. This follow up review was carried out in August 2019. Since the previous follow up review was carried out (June 2019), nine recommendations have reached their target implementation date. A further review was also carried out in relation to the three recommendations set out in the previous follow up report which had reached their implementation date but had not been fully implemented at that time.

Key Findings & Action Points

3. The follow up review considered whether the management action taken addresses the control issues that gave rise to the recommendations. The implementation of these recommendations can only provide reasonable and not absolute assurance against misstatement or loss. From the work carried out the following evaluations of the progress of the management actions taken to date have been identified.

Evaluation	Number of Recommendations
Implemented	4
Outstanding	7
No Longer Applicable	1
Not Implemented	0

4. For the four recommendations that have been confirmed as implemented, no further action is necessary and specific details have not been included in this report.
5. One recommendation previously reported as Outstanding has been deemed no longer applicable in relation to the 2017/18 Risk Management report, as this has been superseded by the 2019/20 review of this area. No further action is necessary and specific details have not been included in this report.
6. In relation to the seven recommendations classified as Outstanding, this includes two recommendations which have not yet reached their revised target implementation date. No further action is necessary at this time and therefore specific details have not been included in this report.
7. For the remaining five recommendations classified as Outstanding, this includes two recommendations with a revised implementation target date, and three recommendations where status updates were not received at the time of carrying out this follow up review due to the officer's annual leave during August (in relation to Day Centres and Yellow Buses). These will continue to be periodically monitored, and details relating to the specific recommendations in these cases have been included in the Detailed Report section below.

Scope and Limitations of the Review

- 8. The review considers the progress made in implementing the recommendations made in the previous internal audit reports and to establish the extent to which management has taken the necessary actions to address the control issues that gave rise to the internal audit recommendations.
- 9. The responsibility for a sound system of internal controls rests with management and work performed by internal audit should not be relied upon to identify all strengths and weaknesses that may exist. Neither should internal audit work be relied upon to identify all circumstances of fraud or irregularity, should there be any, although the audit procedures have been designed so that any material irregularity has a reasonable probability of discovery. Even sound systems of internal control may not be proof against collusive fraud.
- 10. For the purposes of this review reliance was placed on management to provide internal audit with full access to staff and to accounting records and transactions and to ensure the authenticity of these documents.

Release of Report

- 11. The table below sets out the history of this report.

Date draft report issued:	
Date management responses rec'd:	
Date final report issued:	

Executive Summary

Follow Up

12. Management representations were obtained on the action taken to address the recommendations and limited testing has been carried out to confirm these management representations. The following matters were identified in considering the recommendations that have not been fully implemented:

13. Data Quality

Audit title	Data Quality	Audit year	2019/20	Priority	3
Recommendation	Once the new structure has been implemented, reference in relation to Data Quality be made in all the Head of Service Job Descriptions.				
Initial management response	All new Corporate Heads have already been issued with job descriptions which are more strategic and concise. However they will be re-issued to include specific reference to ensuring and maintaining good standards of data quality.				
Responsible Officer/s	Head of HR	Original implementation date	End of July 2019	Revised implementation date	End of August 2019
Latest Update	It was advised by the Head of HR that it has not yet been possible to re-issue the job descriptions with the additional requirements in them due to lack of capacity in HR, however it is anticipated that this will be completed by the end of August.				
Status	Outstanding			The original target date has not been met. A revised target date has been set.	

14. Day Centres

Audit title	Day Centres	Audit year	2017/18	Priority	3
Recommendation	Training to be given to the Centre Managers in preparing bank reconciliations to enable the analysed cash book to be reconciled to the bank statement on a monthly basis.				
Initial management response	Finance to be asked to provide required training.				
Responsible Officer/s	Operations Manager / Head of Community Services	Original implementation date	July 2018	Revised implementation date	01/08/2019
Latest Update	<p>An update was provided by the Head of Community Services in June 2019 that work is currently ongoing to look at ways in which Social Fund accounts can be closed, with income and expenditure lines reflecting the way in which social funds are used added to the RBC budgets for each day centre. The following was proposed in order to try and move this forward, based on working with one of the three centres initially to test the viability of this:</p> <p>By End of May 2019: Community Services to present the income and expenditure lines required to Financial Services for consideration as well as a proposal as to how existing social funds are ring fenced for and used by the centre.</p> <p>By End of June 2019: Financial Services to confirm whether such an approach can be taken, seeking authorisation where required.</p> <p>By End of July 2019: Service users to be advised of closure of social funds and how accrued monies are to be ring fenced. Finances to be transferred from Social Funds to RBC and social fund accounts closed.</p> <p>August 1st 2019: Day Centre budget to have new income and expenditure codes detailed and able to be spent/banked against.</p> <p>A further update was not received during this follow up review due to the officer's annual leave in August 2019, and therefore will continue to be monitored as part of periodic follow up reviews.</p>				
Status	Outstanding			Implementation is in progress but the original target date has not been met. A revised target date had been set.	

15. ICT Mobile Device Security & Management

Audit title	ICT: Mobile Device Security & Management	Audit year	2018/19	Priority	3
Recommendation	A formal documented induction process be created by the ICT Department for all starters.				
Initial management response	Agreed.				
Responsible Officer/s	Service Desk Team Leader	Original implementation date	01/07/19	Revised implementation date	31/12/19
Latest Update	It was advised by the Head of ICT that it was hoped that the Service Desk Team Leader would have been recruited earlier in the year in order for this target to be met but the new recruit is not due to start until 02.09.19. As such, this target will need to be deferred to 31.12.19 but will be achieved as this is seen as a high priority within the team.				
Status	Outstanding			The original target date has not been met. A revised target date has been set.	

16. Yellow Buses

Audit title	Yellow Buses	Audit year	2018/19	Priority	3
Recommendation	Daily rates be formally agreed and evidenced to ensure that the amounts being charged monthly by First Group are in line with the agreed contract price.				
Initial management response	Daily rate to be agreed with finance and communicated to First with expectation of invoices to be based on days service. To commence next academic year.				
Responsible Officer/s	Head of Community Services	Original implementation date	End of June 2019	Revised implementation date	
Latest Update	An update was provided by the Head of Community Services in June 2019 that that confirmation of a daily rate has been requested from Finance. This rate will be provided to First with an instruction that they will only be able to invoice on the basis of per days service from the next academic year, beginning September 2019. A further meeting with Finance had been arranged for August 5 th . A further update was not received during this follow up review due to the officer's annual leave in August 2019, and therefore will continue to be monitored as part of periodic follow up reviews.				
Status	Outstanding			Implementation is in progress but the original target date has not been met.	

Audit title	Yellow Buses	Audit year	2018/19	Priority	3
Recommendation	A process be put in place for obtaining contractor insurance certificates as part of the ongoing management of the contract.				
Initial management response	Contact to be made with First at the start of each academic year requesting insurance certificates. Where certificates expire mid academic year, follow up with First ahead of expiry to request new certificates.				
Responsible Officer/s	Head of Community Services	Original implementation date	August 2019	Revised implementation date	
Latest Update	An update was provided by the Head of Community Services in June 2019 that a calendar note had been set for August 1 st to write to First to request insurance certificates. A further update was not received during this follow up review due to the officer's annual leave in August 2019, and therefore will continue to be monitored as part of periodic follow up reviews.				
Status	Outstanding			The original target date has not been met. A revised target date has been set.	

7. **INTERNAL AUDIT PROGRESS REPORT 2019/20 (TIAA, Chris Harris)**

Synopsis of report:

To inform Members on the progress made to date by TIAA, the Council's internal auditors, on the 2019/20 Internal Audit Annual Plan.

Recommendation(s):

None. This report is for information.

1. **Context of report**

1.1 Attached at Appendix 'D' is the most recent Internal Audit Progress Report for 2019/20.

2. **Report**

2.1 The report identifies the audits which have been completed since the last meeting of this Committee, for the 2018/19 and 2019/20 planned audits.

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 and Equality implications**

4.1 None.

(For information)

Background papers

Relevant Internal Audit working files and reports



Runnymede Borough Council

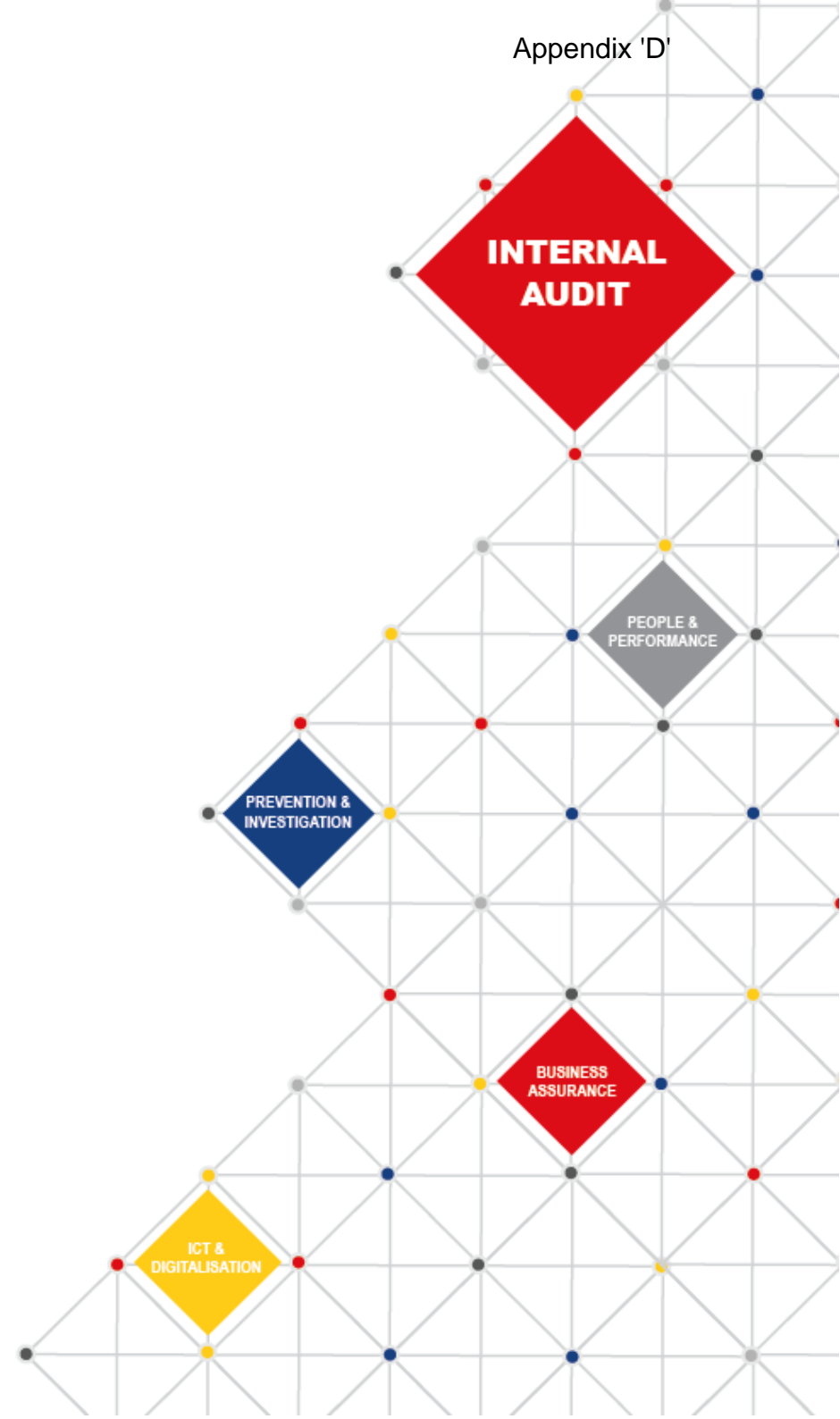
Internal Audit Progress Report 2019/20

Standards and Audit Committee

17 September 2019

FINAL

2019/20



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 28 August 2019.

PROGRESS AGAINST THE 2018/19 & 2019/20 ANNUAL PLAN

2. Our progress against the Annual Plan for 2019-20 is set out in Appendix A. (In addition, any outstanding 2018/19 final audit reports are included in Section 4 below.) 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/issued since the previous meeting and of those outstanding audit reports at draft report stage 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*
<u>2018/19 audits</u>									
Business Continuity	Substantial	August 2018	18/04/2019	9/07/19	11/07/19	-	-	1	1
HR - Recruitment	Reasonable	August 2018	30/01/2019		Still at Draft	-	1	2	-
Housing Rents	Substantial	January 2019	21/03/2019		Still at Draft	-	-	1	-
Housing Repair and Maintenance	Reasonable	September 2018	1/05/2019	9/07/19	11/07/19	-	-	-	-
<u>2019/20 audits</u>									

Section 106	Substantial	July 2019	7/08/19	21/08/19	22/08/19	-	-	2	-
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*Organisational Efficiency Matters (OEM). These are best practice or value for money issues identified during the audit

CHANGES TO THE ANNUAL PLAN 2019/20

5. There are two approved change to the Annual Plan for 2019/20:
 - Delete – Commercial Property Redevelopment (this audit has just been concluded in June 2019 from the 2018/19 audit programme and will be undertaken again early 2020/21)
 - Increase audit time by 5 days for the Local Plan audit

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 2019/20

System	Planned Quarter	Days	Current Status	Comments	Date last time audited
Risk Management	2	6	In progress		December 2017
Commercial Property Redevelopment	3/4	(11)0		Delete from 2019/20 plan as just audited - to include in 2020/21 plan	June 2019
Data Quality	1	6	Final report issued 25 June 2019		July 2017
Commercial Rents	3/4	6			June 2019
Benefits and Council Tax Support	3/4	10			March 2019
Non-Domestic Rates (NDR)	3/4	8			March 2019
Council Tax	3/4	8			March 2019
Accounts Payable (Creditors)	3/4	6			December 2018
Accounts Receivable (Debtors)	3/4	6			December 2018
Income – Cash and Bank	3/4	6			March 2019
Main Accounting (General Ledger)	3/4	6			March 2018
Payroll	3/4	8			February 2019
Capital Accounting and Asset Management	3/4	6	In progress		March 2017
Treasury Management	2	6	In progress		March 2018
ICT – TBA (Contingency)	3	18			N/A
Procurement/Contracts	4	6			March 2019

System	Planned Quarter	Days	Current Status	Comments	Date last time audited
Governance – Corporate (Constitution, Members, transparency and openness)	1	6	Draft report issued 9 July 2019		October 2017
Freedom of Information	1	6	Final report issued 1 July 2019		2016
Depot – to include trade waste	1	6		Audit deferred until later in year due to operational staffing issues	April 2018
Car Parking	1	6	Final report issued 30 May 2019		November 2016
Planning Enforcement	1	6	Draft report issued 18 June 2019		Not Known
Housing Rents	2	6			March 2019
Housing Allocations and Homelessness	2	6	Start date 16 September 2019		June 2017
Housing Enforcement	1	6	In progress		Not Known
Housing Section 106	1	8	Final report issued 22 August 2019		Not Known
Local Plan	1	(8)13	Draft report issued 7 August 2019		Not Known
Follow up	4/5	15		This is now a quarterly update of all outstanding recommendations	
<u>Total</u>		<u>185</u>			

KEY:

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

8. INTERNAL AUDIT REPORT ON ADDLESTONE ONE (TIAA, Chris Harris)

Synopsis of report:

The audit reviewed the many issues that arose during the development of the Addlestone One project and this report highlights the key events and the lessons learnt.

To inform Members on the outcome of the audit and the lessons learnt.

Recommendation(s):

None. This report is for information.

1. Context of report

1.1 Attached at Appendix 'E' is the Internal Audit Report on Addlestone One.

2. Report

2.1 The key outcomes from the report include:

- The preparation and planning stage of the project are key to a successful outcome.
- Avoid variations at some later stage in the development.
- Large regeneration projects need to be adequately resourced from project inception.
- The Council needs to determine what is exactly required and not to make changes part way through the scheme's progression

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 and Equality implications

4.1 None.

(For information)

Background papers

Relevant Internal Audit working files and reports

Runnymede Borough Council

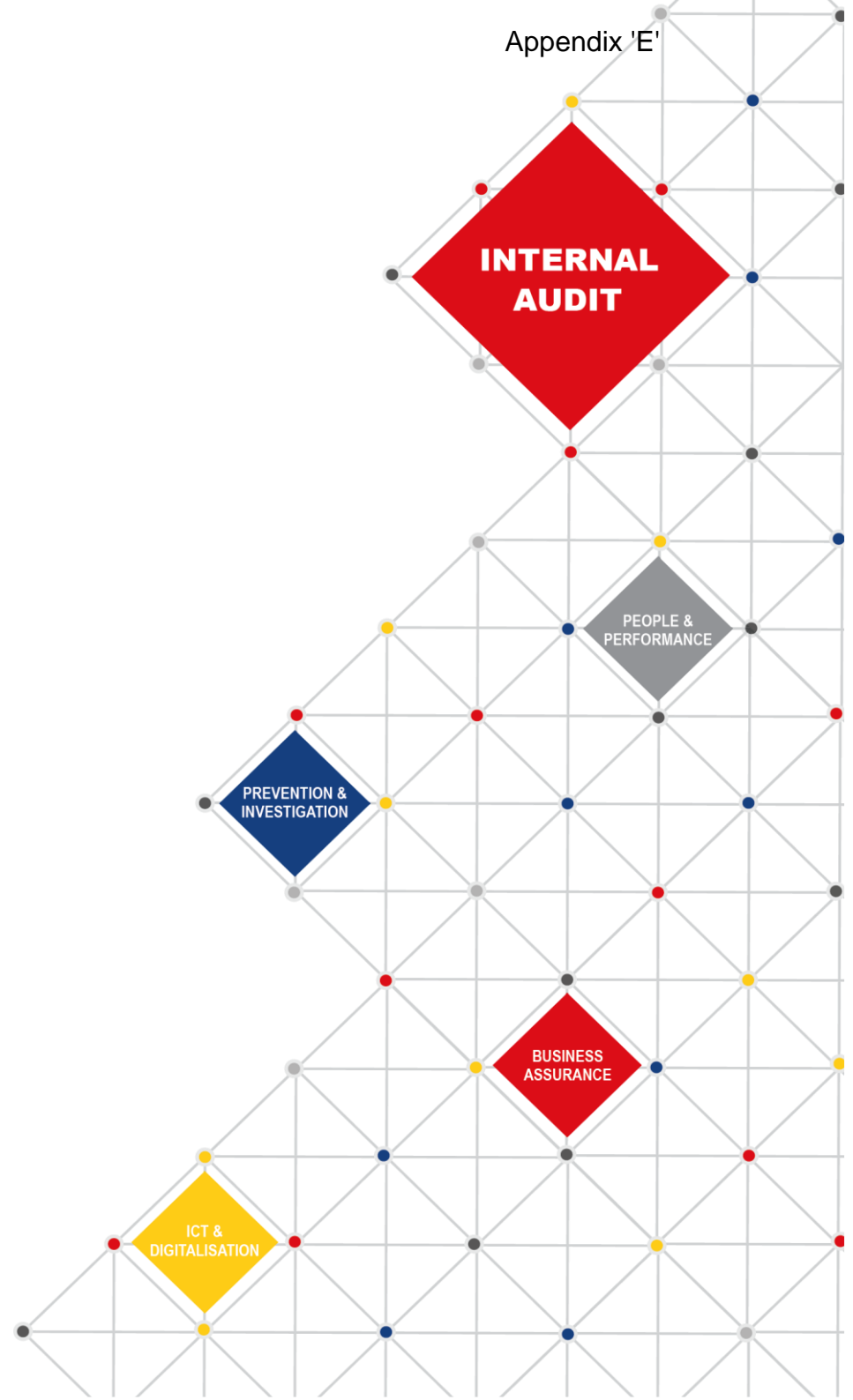
Review of Addlestone One

May 2019

FINAL

2018/19

Appendix 'E'



Executive Summary

OVERALL ASSURANCE ASSESSMENT

No overall assurance assessment is provided as this was an advisory, rather than an assurance review.

OVERALL CONCLUSION

The Addlestone One project changed due to need to generate additional revenue, changing from the scheme conceived by a developer to one where the Council would become the developer.

- Many of the issues that became known on the Addlestone One project such as not providing for all retail types within the commercial units have been incorporated into the current developments.
- Addlestone One has suffered from unprecedented market forces such as the fundamental change to customer shopping and the outcome of a referendum vote to leave the EU.
- In conclusion, wherever appropriate and possible the lessons learnt from the Addlestone One project have been incorporated into future developments.

SCOPE

Rationale: The Addlestone 1 (Town Centre Redevelopment) is a major construction project for the Council and presents a high level of risk in terms of cost, reputation and customer satisfaction.

Scope: This will be a post completion “lessons learnt” review.

ACTION POINTS

Urgent	Important	Routine	Operational
0	0	0	0

Introduction

1. This review was carried out in May 2019 as part of the planned internal audit work for 2018/19. Based on the work carried out a summary of the key findings is provided in the Executive Summary.

Background

2. At the Special Corporate Management Committee meeting held on the 13 November 2014 the Committee approved the purchase of Addlestone ONE development. Members at this Committee were made aware of the following: "The Addlestone ONE Development was a prestigious mixed use development of commercial units and 213 residential units that would fundamentally reshape and reinvigorate Addlestone Town Centre. The Committee noted the current estimated market value of the completed Development."
3. Further, "the Committee noted the legal framework under which the Development could take place. The current plans for the commencement of preliminary works and full construction were noted. The time period envisaged for the construction programme was noted. Some parts of the Development could be released for the fitting out of the commercial units and the occupation of the residential units before practical completion of the whole development. The Committee noted the mix of commercial and residential units within the Development, the retailers that had committed to the Development and those that were expected to do so and the way in which payment to Bouygues Development Ltd (BYD) would be phased. The Committee noted draft Heads of Terms for the Development. Further fine tuning was taking place on these Heads of Terms which would not alter fundamentally. The Committee noted the work that would need to be done once the Heads of Terms had been agreed."

Materiality

4. The Addlestone ONE Development is an £80 million project.

Key Findings & Action Points

5. The key control and operational practice findings that need to be addressed in order to strengthen the control environment are set out in the Management and Operational Effectiveness Action Plans. Recommendations for improvements should be assessed for their full impact before they are implemented.

Scope and Limitations of the Review

6. Rationale: The Addlestone One (Town Centre Redevelopment) is a major construction project for the Council and presents a high level of risk in terms of cost, reputation and customer satisfaction.
Scope: This will be a post completion "lessons learnt" review.
7. The definition of the type of review, the limitations and the responsibilities of management in regard to this review are set out in the Annual Plan.

Disclaimer

8. The matters raised in this report are only those that came to the attention of the auditor during the course of the internal audit review and are not necessarily a comprehensive statement of all the weaknesses that exist or all the improvements that might be made. 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. 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.

Acknowledgement

9. We would like to thank staff for their co-operation and assistance during the course of our work.

Release of Report

10. The table below sets out the history of this report.

Date final report issued:	29 th May 2019
----------------------------------	---------------------------

Key Lessons Learnt

11. The key lessons learnt from the Addlestone One development project include the following:
- 11.1 The preparation and planning stage of the project to make sure the scheme will be able to cater for most eventualities (a flexible build to enable occupation from all retail sectors from clothing to restaurants) is essential if delays and additional costs are to be avoided.
This has been incorporated into all subsequent projects.
 - 11.2 Once a particular course of action has been agreed not to then vary this at some later stage in the development.
On all current projects minimal variation is occurring.
 - 11.3 It is important at the preparation and planning phase to make sure the Council has within the project all that it may require when the project is completed. Any changes to a project during the build phase or after construction has taken place will be significantly more expensive and disruptive.
This has been taken into account with all current projects
 - 11.4 While such incidents as a major flood or “act of God” cannot be predicted through good risk management every area that might give rise to consequential loss and delay should be considered and as far as possible mitigated.
Comprehensive risk registers are in place on all current projects
 - 11.5 The Council need to recognise the complexity of a large regeneration project and the need to resource a development team from project inception.
The Council now have an experienced and resourced team within Commercial Services
 - 11.6 The Council for every scheme at the outset must determine what is exactly required and not to make changes part way through the scheme’s progression.
For all schemes these are now fully development and Members are kept informed of the expected outturn

Detailed Findings

12. The following matters were identified in reviewing the Addlestone One Project:
- 12.2 The redevelopment of Addlestone Town commenced many years ago with an early Phase being the relocation of the Community Centre and a subsequent Phase then being the integration of the Old Police Station and Town Hall into the new Civic Centre with large areas left as vacant land for car parking.
 - 12.3 The Addlestone Town Centre Regeneration Project involved the regeneration of a 5.8 acre town centre site adjacent to the Civic Centre on Station Road. The project is a mixed-use development consisting of both housing and commercial units. In August 2014 the Project Management role changed from the Council's Assistant Solicitor who had taken up the position in January 2013, to the Head of Commercial Services. The role was previously filled by the Regeneration Manager until her fixed term contract of employment expired in December 2012. There was a lack of continuity since the original project was conceived and other than the procurement process and until August 2014, significant absence in the Council taking a proactive involvement in the design of the regeneration project. No formal project team was in place since conception but from 2014 the project was led by the Head of Commercial Services who was supported by Colliers International a firm of Consultants who are specialist valuers.
 - 12.4 The Corporate Management Committee held the decision-making powers for the project, in line with the Council's Constitution. In addition, a Property Sub Committee had been established to deal with detailed property matters (which included the Town Centre Redevelopment) although this Sub Committee had no delegated decision making powers. In November 2012, Bouygues Development Limited were appointed as the developers for the project and on the 25 February 2014 a conditional development agreement was signed with them. In addition, two consultants had been appointed to assist with the project preparation: Trowers & Hamlin and then Bevan Brittan for legal support and Colliers International for bid valuation, Police property matters and Phase 1 work for the acquisition (to include cash flow projections and a risk register).
 - 12.5 In September 2014 the Council approved a feasibility study for developing the Runnymede Heat Network. This would include the Council owning and managing the Combined Heat and Power with District Heating to service Phase 1 and 2 of the Addlestone Regeneration Scheme and was required because no commercial organisations would adopt the Heat Network due to its relatively small size.
 - 12.6 On 7 October 2014 the Property Sub-Committee approved the Property Investment Strategy 2014/15 to 2017/18. The Corporate Management Committee at its meeting on 13 November 2014 approved the purchase of the Addlestone One Development. The purchase approved was for the whole development and the report to members was supported by two Colliers Reports on the viability of the commercial units and the viability and suggested unit mix of the residential units. The Property Investment Strategy was adopted by full Council at their meeting on 18 November 2014.
 - 12.7 The original Development Agreement (DA) with Bouygues Development Ltd (BYD) was to redevelop the sites previously used as the Council Offices and Addlestone Police Station together with the associated shops 40-58 Station Road, Devonshire House, 1-4 Devonshire Cottages and 1-12 Middlesex Court. At the time that the DA had been agreed, it had been envisaged that the land required to develop the site would transfer under licence to BYD who would then secure investors to purchase the site following which the development of the site would continue. It is important to note that BYD would not have taken the risk to pursue the commencement of the Development without having funders in place who would own the development upon completion. But once the Council had agreed to purchase the completed Development in December 2014, the original Development Agreement was almost completely renegotiated to reflect the change in ambition of the Council. The first variation to the Development Agreement was agreed in principle by the Head of Commercial Services with advice from Colliers and Bevan Brittan solicitors and signed off by an SO42 delegated decision for completion in early April 2015.

- 12.8 However, in order to help create more secure revenue support for services, the Property Investment Strategy required the investment of capital assets (existing or through borrowing) in order to create a minimum of £1 million of additional annual revenue income to the Council by 2018/19. Whilst the redevelopment of Addlestone One was not required as part of the original Strategy as this was aimed at seeking commercial property acquisitions, the proposed purchase supported the strategic intent of using capital borrowing to create revenue.
- 12.9 In arriving at the original Development Agreement in February 2014, it should be noted that BYD made a number of cost saving adjustments to the original scheme, including reducing the cost of creating the core and shell commercial units by designating 50% of The Lane as retail and the remainder as either retail or food and beverage. Such a designation was not unrealistic in 2014 as the tenant market was relatively buoyant. In addition, as the package at the outset was to a) provide a Town Centre improvement and b) to generate a capital receipt for the Council, it is fair to say that some of the detail that might well have been included had the scheme been one that the Council would develop themselves was now missing from the Scheme. This would include making all the commercial units “multipurpose” and able to accept any tenant. A multipurpose unit would therefore have included all the basic infrastructure to accommodate not only clothing type retail units but also the more demanding catering units that would require enhanced electric and water supplies, cooking fume extract and drainage capability. Addlestone One has reached a stage where some of the units that would have been built for clothing type retail are now to be occupied by catering services. This has meant delay and cost in upgrading these units which is clearly much more disruptive and expensive after the work was initially completed.
- 12.10 A clear lesson learnt here was for this flexible multipurpose unit to be included in the planning stage for any future developments, which is the case for the Egham Town Centre Redevelopment.

Capacity to deliver

- 12.11 The Council is a relatively small local authority and so progressing a large regeneration project was a new venture and one where existing officers were not available to lead the project. Like many local authorities, having agreed an initial idea there were substantial delays in making initial progress but then after the new Civic Centre construction was completed, there was an identified need to secure a development partner to develop and then sell the developed site of the old town hall and the police station. After some initial resource injection to procure the Developer, it was not until August 2014 that the relevant expertise was acquired after a substantial search exercise to take the development forward. But even at this time, the only resource available to the Council was the Head of Commercial Services as no development team was either created or available. So other than specialist valuation assistance from Colliers and legal advice from Bevan Brittan and the in-house property lawyer, all aspects of driving the project including the negotiation of the revised and complex Development Agreement, managing Bouygues Development Limited (BYD), on-site construction liaison/standard checking, financial planning, profiling, monitoring and authorising monthly invoices, the creation of the three Council Special Purpose Companies, developing operational capacity to both sell and let the residential units and service the development, marketing the retail units and negotiations with potential tenants, etc all fell to a single person in the Council. Not only did this create a fundamental capacity issue but was recognised in the risk register as “key man” risk.
- 12.12 The learning point is that the Council should recognise the complexity of a large regeneration project and the need to resource a development team from project inception. Whilst the procurement of the Runnymede Regeneration Programme through Places for People as the Development Manager creates the project team approach, there remains a requirement for the Council to have a project director with access to both commercial letting and building control expertise. It is also important that Members are involved through both the agreement of the key project stages at Committee, but also informally through the proposed Asset and Regeneration Member Working Group.

Did the final build reflect what the Council had visualised at the outset and was the development completed on time and within budget?

- 12.13 The original Development Agreement (DA) with Bouygues Development Ltd (BYD) would have been different to what might have been envisaged by the Council. The initial process involved a developer progressing a redevelopment within profit requirements and cost constraints and only sufficient to obtain planning approvals. This process was complex and, at the time the Council assumed developer responsibility (April 2015), to have unpicked the original Development designs would have required a new planning permission to be sought with all the associated costs and would have also caused significant delays to starting and ultimately completing the regeneration of Addlestone Town.

In proceeding with the Development where the Council rather than selling off the site had determined to purchase the completed development did result in an early start on site and therefore an early completion. Addlestone One is now practically complete and both the commercial and residential units well under way to be occupied. The build went to program if not the target completion date but overall completed on time. In addition, it also completed within budget. The end result is a quality construction and a real improvement to Addlestone Town. The Cinema, Food supermarket, Gym, Hotel and two retail units are all in place and trading successfully. However, the residential sales have slowed during 2018/19 and the commercial letting of units has been much slower than originally expected both by officer, Colliers and the market due to the substantial and sustained downturn in the market linked to consumer confidence, lifestyle changes, internet based shopping and increases in business rates. The down turn in both the housing markets and commercial sector could not have reasonably been foreseen at the time that Addlestone One was agreed by Members in 2014/15.

- 12.14 To provide for the Council improving elements of the design a contingency budget was agreed. This resulted in a range of variations being agreed and reported to members in the bi-monthly reporting of the project. The changes made were to both improve the marketability of the development and also the operational efficiency of the completed project. Given what was included within the original Development Agreement it was envisaged that some changes/variations would be required during the construction. However, it is always preferable for the Council to actively participate in the base design to be satisfied of key features before the planning application is made and then in the fine detail of design as the design progresses to construction. This is always the most cost effective method, but for Addlestone One was not a realistic option at the time of intervention in August 2014 and the change in approach to purchase the completed Development.
- 12.15 The lesson to learn here is to have a scheme at the outset which is exactly what is required and not to make changes albeit to take control of the development part way through the scheme's progression.

The key issues, problems and successes of the Development

- 12.16 During the construction stage of the project it did suffer from some unknown and unpredictable issues that have resulted in latent difficulties.
- 12.16.1 At a key stage in construction the housing element suffered three catastrophic water leaks which affected the infrastructure of the build and caused a significant delay to that part of the construction. This also put out of phase the projected hand over of the housing element.
- 12.16.2 Both the housing market and commercial retail sector suffered a major down turn. This could not have been predicted in the period 2014-15. To compound matters the result of the referendum of 2016 has no doubt played its part in the slowdown in the housing and commercial markets.
- 12.17 The lesson to be learnt here is that property development through regeneration projects takes many years from inception to completion and the vagaries of the markets cannot be predicted in the short to medium term. So a long term view of Regeneration Projects is required and they should be regarded as potentially high risk. That said regeneration is an important part of a local authorities remit and should be progressed as a means of supporting a vibrant and sustainable community.

What lessons have been learnt and included in current schemes

- 12.18 As an example of a lesson learnt the Director of Commercial Services at RBC is working with Places for People as the Council's Development Manager in the construction of the Egham Orbit and the regeneration of Egham town centre – Egham Gateway West. These projects employ a multidisciplinary project team, have carefully planned staged progression with Member approval to progress to the next stage of the development and use key project planning tools, including the initial Project Initiation Document through to a risk register. All the proposed commercial units in Egham Gateway West are to be developed as multipurpose units that can cater for all sectors, clothing, food etc. which was not the case at Addlestone One.
- 12.19 The Council is fully involved upon the initiation of the project with a clear understanding of what may be required and to have thoroughly reviewed both current and future potential risks. While changes to market conditions cannot always be forecast the risk register should identify all potential risks and what remedial actions are available to take should circumstances change.

The business environment and predictable changes.

- 12.20 The Corporate Management Committee of 13 November 2014 had expectations that both the housing market and commercial property market were doing well and this would be projected into the future. In its 2013/14 report the National Housing Federation reported that house prices and rents in the South East were expected to rise 40% by 2020. Following the Brexit vote in 2016, demand for retail units in all but well established and attractive retail locations has drastically reduced and rents for office space have generally reduced from around 7% per year to around 1% and have remained relatively low ever since, other than in prestigious developments where good rents can be achieved if appropriate incentives like significant rent free periods are offered.
- 12.21 Clearly at its meeting in November 2014 Officers and Members could not have reasonably foreseen the external factors that created the dramatic downturn in both the housing and commercial/retail property markets. That said the three key lettings to Waitrose, Premier Inn and the Light Cinema were all successfully concluded. For Egham Gateway West, the Council has already successfully agreed for the Everyman Cinema to be the key anchor tenant in this development.

Common themes that would benefit future investment/development projects

- 12.22 In summary issues that have arisen on the Addlestone One project are as follows:

- 12.22.1 Due to circumstances that unfolded over time and centred around how the Council would receive future funding, a policy decision was taken to change the Addlestone One from a developer led project for sale whereby the Council would have received a one off capital payment, to the Council becoming the developer and being able to retain ownership of the development and thereby collect revenue income through rents etc. To enable a speedy progress of the development the Council therefore took ownership of the developer's plans which in hindsight had a number of shortcomings. These included for example a lack of flexibility of the commercial retail element of the development. For instance units designed for say the sale of clothes would not without significant alteration be able to accommodate say a catering outlet. This was always going to be the case with the Addlestone One development but a significant increase in costs and a loss of substantial time would have occurred for the Council if it had decided to redesign the project. The lesson learnt here and which has been applied to all new/future developments is to build in flexibility in the design from the start of the project. So all new projects now have multiple usage build into the unit so they can accommodate any type of retail outlet.
- 12.22.2 The Council should look to get early letting agreements in place to avoid the vagaries of the commercial letting market. To a greater degree this did occur on the Addlestone One project and the three key lettings to Premier Inn, The Light and Waitrose did get finalised to programme. Also, initially the Development Manager was seeking and agreeing in principal lettings but the momentum fell away resulting in the Council stepping into the marketing of the commercial units, but against a rising tide of tenant resistance to taking new units, especially in undeveloped significant retail destinations. No one could have foreseen the significant down turn in both commercial lets and the housing market.

12.22.3 Events such as the flooding of part of the housing site could not have been foreseen or a contingency plan been in place. Such events may and do happen on construction sites from time to time (note Notre-Dame Cathedral in Paris) with the only remedy being an insurance policy to recover some of the financial losses. The loss of time and disruption have to be managed in the most efficient and economical way.

12.23 In conclusion, while the Addlestone One project has experienced some unexpected problems the Council does have a new town centre redevelopment with many new facilities already available to the community. Although some lettings have been delayed there is every prospect that over the coming months the new development will be fully let. In addition, with continuity of staff the problems and difficulties that have been experienced on the Addlestone One project have been fully understood and where appropriate the lessons learnt have been incorporated into the future development projects.

12.24 Unfortunately, market forces will prevail and when embarking upon a long term development the risks of achieving outturn expectations may not always be met, although on occasion they could in some instance be exceeded.

9. LOCAL GOVERNMENT AND SOCIAL CARE OMBUDSMAN ANNUAL REPORT 2018/19 (LAW AND GOVERNANCE, Clare Pinnock)

Synopsis of report:

To inform Members on the receipt and outcome of matters handled by the Commissioner for Local Administration (Local Government and Social Care Ombudsman) covering the year ending 31 March 2019.

Recommendation:

None. This report is for information.

1. Context of report

- 1.1 The Local Government and Social Care Ombudsman - the Ombudsman - does not normally consider a complaint unless a local authority has first had an opportunity to deal with the complaint itself.
- 1.2 Since June 2017, we have maintained a separate register for complaints dealt with by the Ombudsman. This is monitored on behalf of the Corporate Head of Law and Governance. We ensure that requests from the Ombudsman when investigating a complaint are dealt with in a timely manner.

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 general Council policy are not usually regarded as complaints.
- 2.2 The complaints page on the Council's website explains our policy and provides people with details of the Ombudsman who they can complain to once the internal process has been completed.
- 2.3 For the period up to 31 March 2019, the Ombudsman reported that it had received 11 complaints and enquiries, 6 of which have been accounted for with reference to the Register. The remaining 5 listed on their 'received' spreadsheet, are cases that the Ombudsman decided not to pursue or investigate but did not involve us as an authority. This is often the case when a person has complained to the Ombudsman too early, he has referred them back to us but the complainant has decided not to pursue their complaint with us. Of the 11 received, there were 6 cases (the ones we have accounted for), where the Ombudsman referred the complainant back to us for local resolution but they did not pursue their complaint. We only received a decision notice for one of these because the Ombudsman contacted us for further information. This was a case which covered issues regarding Homelessness, Allocations and Housing Benefits. Officers worked together across departments to collate the necessary information to inform the Ombudsman's decision to refer the case back to us.
- 2.4 Including the decision to refer the case back to us as detailed above, there were 10 decisions made in the year ending 31 March 2019, for which we

have 5 notices. The Ombudsman closed 2 cases after making initial enquiries of us. There was a complex case regarding Council Tax and it was fortunate that the Revenues Technical Manager and her staff had kept comprehensive records so that we were able to assist the Ombudsman promptly. The other case was regarding Planning; again Officers in Planning were very helpful in providing us with the information to give to the Ombudsman which satisfied him that the complaint was not warranted and there was no service failure.

- 2.5 There were two cases which went to a full investigation and it is worth adding at this point that the Ombudsman has changed their requirements with regard to providing them with information in response to the Data Protection Act which makes it more onerous to respond in a timely manner. To explain, where a full investigation is held, there are often numerous documents to submit which the Ombudsman will only accept by email. In most cases there are usually plans, correspondence, and images which have to be sent, and Officers have to interrogate their records and extract a lot of information, first redacting any personal information which we would not as an authority wish to be shared with the complainant, and/or to do so would breach the Data Protection Act. The Ombudsman now asks for two sets of documents; a pristine copy and a redacted one, carefully highlighting what information has to be redacted and why. This inevitably takes time for all Officers involved. Typically, when notified the Ombudsman wishes to investigate further we have a period of 2 weeks to collate all the information and email it to them. Therefore, it is to the credit of Officers who are asked to pull together all the required pieces of information in addition to any other duties they perform.
- 2.6 Of the two cases fully investigated, one was upheld, but no remedy was called for as the Ombudsman decided that there had not been any significant injustice to warrant further action by the Council such as an apology or compensation. Both cases fell within Planning and Development. The upheld case concerned the Council's decision to grant planning permission for a development near the complainant's home but no fault was found with the decision to grant or the way the Planning Committee had been conducted. The fault lay in the Council's failure to fully explain why they were not applying tests to the build that the complainant thought applied. This illustrates the need to sometimes go beyond a summary of the considerations so that people are clear about what has or has not been taken into account.
- 2.7 The case which was not upheld involved Planning Enforcement at a site in the borough where it was found that the Council had acted in line with national and local guidance but the residents did not feel this met with their expectations. Because the case had been going on for some years, this added to the frustration felt by residents that more could be done but the Ombudsman disagreed when referring to the National Planning Policy Framework and the Council's own Enforcement Charter.
- 2.8 A breakdown by Ward and Business Centre for 2018/19 for the 5 notices we received is shown below:

Business Centre	Ward and number of cases
Planning	Addlestone North Englefield Green West Foxhills (now Ottershaw)
Resources Resources/Housing	out of borough Addlestone North

- 2.9 Members are asked to note that as set out in the Ombudsman's letter, attached at Appendix 'F', we might not necessarily hold the same information as the Ombudsman because some complainants never come back to us to pursue a complaint if the Ombudsman has decided the complaint is premature.
- 2.10 The Committee's attention is drawn to a new on-line interactive service created by the Ombudsman to allow anyone to check a local authority's statistics. This shows the percentage of cases upheld in the year ending 31 March 2019. However, Members should be aware that the percentage is somewhat skewed if, like this authority, only one case has been upheld out of two investigated. The upheld rate is shown as 50%. Therefore, if, as they did, the Ombudsman received 11 enquiries and only upheld one of them, the true percentage would be 9%. The other oddity is that we are shown as having a compliance rate of 0%. The compliance referred to is with recommendations made by the Ombudsman. However, he made no recommendations this year so the figure is 0, giving 0% compliance.
- 2.11 Comparative data from the Ombudsman's website for Surrey authorities, including the County Council for 2018/19 is set out in Appendix 'G'.
- 2.12 The tables show that we compare well with other authorities in Surrey; we share common themes and none are unusual in terms of numbers received. We have filtered the information provided by the Ombudsman just to show the Surrey Authorities but with the national figures across all authorities as a base line comparator for information.
- 2.13 The Ombudsman has provided a summary of their annual review with regard to local Government complaints, the full review covering all public authorities including National Parks, Transport for London etc is published on their website. The Ombudsman received a total of 16,899 complaints and enquiries in 2018/19 compared with 17,452 in 2017/18. In 2018/19 they issued 3,525 recommendations to remedy personal injustices compared with 2,566 in 2017/18.
- 2.14 Throughout the year, the Ombudsman issues a number of public interest reports in order to share and promote best practice from which local authorities can learn. They publish a bi-weekly digest of decisions which is placed on a shared drive and highlighted to relevant officers. They also produce specific guidance, the most recent was aimed at helping council Benefits practitioners manage complex council tax reduction (CTR) enquiries and complaints, which was circulated.
- 2.15 The Ombudsman has published the following headline statistics for 2018/19:
- 4,232 detailed investigations, compared with 4,020 the previous year
 - 58% of investigations upheld compared with 57% the year before
 - recommendations to remedy more cases this year – up 11% (1,929 upheld cases)
 - Compliance with recommendations made = 99.4%
- 2.16 Other statistics from across the country include:

- London has the highest uphold rate, with 63% of all detailed investigations being upheld
- The North East region has the lowest uphold rate at 46%
- The North East has the highest proportion of Children and Education complaints upheld, with the East Midlands having the lowest proportion
- The North East has the highest proportion of Adult Care complaints upheld, with the East Midlands area having the lowest

2.17 The Ombudsman reports that “investigations can lead to positive changes for more people than those originally affected. These changes can include redrafting policies and procedures, or conducting wholesale reviews of services. The Ombudsman recommended 1,450 service improvements in 2018-19, which have the potential to benefit tens of thousands of other people across the country.”

2.18 As alluded to above, the Ombudsman has launched a new interactive map which gives people the opportunity to look at how every local authority is performing. “The new map collates the annual letters the Ombudsman sends to each local authority, how often they have complied with Ombudsman recommendations, the improvements they have agreed to implement, and published decisions all in one place.”

2.19 Michael King, Local Government and Social Care Ombudsman, said:

“All too often conversations about complaints focus on the raw numbers. We believe there is a much more productive discussion to be had about the outcomes of those complaints, the real-world improvements made and the lessons that can be shared.”

“For the first time, we’re publishing all the ‘service improvements’ we’ve recommended; and the rate at which councils have taken them on board. And to help share these lessons more widely and encourage scrutiny, we’ve launched an online map, putting each council’s data just one click away

“The new map is a mine of searchable information that can be used by council officers to learn from complaints, councillors to scrutinise complaints and decisions about their authorities, and residents to hold their local authorities to account.”

3. Policy framework implications

3.1 The Council is ‘customer-led’ and strives for excellent customer service. Customer feedback, whether good or bad, is therefore very useful in ensuring standards are maintained and system improvements made.

3.2 Decision notices are promptly forwarded to the relevant Business Centre so that they can decide whether there needs to be a review of procedure or if there are ways to improve service delivery in order to avoid having matters referred to the Ombudsman even if ‘no fault’ has been found.

3.3 The Key Performance Indicator for Ombudsman matters reported to Corporate Management Committee now includes 'minor injustices'. In the first quarter of 2019/20 there was one complaint to the ombudsman that was upheld requiring an apology to be issued; this was a complicated and long running case involving Private Sector Housing and Housing Maintenance and was joint with Surrey County Council.

4. **Resource implications**

4.1 The Ombudsman register and Link Officer role is carried out using existing resources.

5. **Legal Implications**

5.1 This report fulfils the Council's Statutory duty under section 5(2) of the Local Government and Housing Act 1989.

6. **Equality implications**

6.1 The Council is required to have due regard to its public sector Equality Duty.

6.2 The Council's Duty is stated under the Equality Act 2010 and is to have regard to the need to:

- a) eliminate unlawful discrimination, harassment or victimisation
- b) advance equality of opportunity between persons who share a Protected Characteristic and persons who do not share it
- c) foster good relations between those who share a relevant characteristic and those who do not

6.3 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.

6.4 From a review of the matters referred to the Ombudsman in 2018/19 it is indicated that the protected characteristic of disability was relevant in one of the complaints.

(For information)

Background papers

Relevant correspondence held on Law and Governance files including internal departmental emails and between the Council and the LG&SCO.

Local Government & Social Care OMBUDSMAN

24 July 2019

By email

Paul Turrell
Chief Executive
Runnymede Borough Council

Dear Mr Turrell

Annual Review letter 2019

I write to you with our annual summary of statistics on the complaints made to the Local Government and Social Care Ombudsman about your authority for the year ending 31 March 2019. The enclosed tables present the number of complaints and enquiries received about your authority, the decisions we made, and your authority's compliance with recommendations during the period. I hope this information will prove helpful in assessing your authority's performance in handling complaints.

Complaint statistics

As ever, I would stress that the number of complaints, taken alone, is not necessarily a reliable indicator of an authority's performance. The volume of complaints should be considered alongside the uphold rate (how often we found fault when we investigated a complaint), and alongside statistics that indicate your authority's willingness to accept fault and put things right when they go wrong. We also provide a figure for the number of cases where your authority provided a satisfactory remedy before the complaint reached us, and new statistics about your authority's compliance with recommendations we have made; both of which offer a more comprehensive and insightful view of your authority's approach to complaint handling.

The new statistics on compliance are the result of a series of changes we have made to how we make and monitor our recommendations to remedy the fault we find. Our recommendations are specific and often include a time-frame for completion, allowing us to follow up with authorities and seek evidence that recommendations have been implemented. These changes mean we can provide these new statistics about your authority's compliance with our recommendations.

I want to emphasise the statistics in this letter reflect the data we hold and may not necessarily align with the data your authority holds. For example, our numbers include

enquiries from people we signpost back to your authority, some of whom may never contact you.

In line with usual practice, we are publishing our annual data for all authorities on our website, alongside our annual review of local government complaints. For the first time, this includes data on authorities' compliance with our recommendations. This collated data further aids the scrutiny of local services and we encourage you to share learning from the report, which highlights key cases we have investigated during the year.

New interactive data map

In recent years we have been taking steps to move away from a simplistic focus on complaint volumes and instead focus on the lessons learned and the wider improvements we can achieve through our recommendations to improve services for the many. Our ambition is outlined in our [corporate strategy 2018-21](#) and commits us to publishing the outcomes of our investigations and the occasions our recommendations result in improvements for local services.

The result of this work is the launch of an interactive map of council performance on our website later this month. [Your Council's Performance](#) shows annual performance data for all councils in England, with links to our published decision statements, public interest reports, annual letters and information about service improvements that have been agreed by each council. It also highlights those instances where your authority offered a suitable remedy to resolve a complaint before the matter came to us, and your authority's compliance with the recommendations we have made to remedy complaints.

The intention of this new tool is to place a focus on your authority's compliance with investigations. It is a useful snapshot of the service improvement recommendations your authority has agreed to. It also highlights the wider outcomes of our investigations to the public, advocacy and advice organisations, and others who have a role in holding local councils to account.

I hope you, and colleagues, find the map a useful addition to the data we publish. We are the first UK public sector ombudsman scheme to provide compliance data in such a way and believe the launch of this innovative work will lead to improved scrutiny of councils as well as providing increased recognition to the improvements councils have agreed to make following our interventions.

Complaint handling training

We have a well-established and successful training programme supporting local authorities and independent care providers to help improve local complaint handling. In 2018-19 we delivered 71 courses, training more than 900 people, including our first 'open courses' in Effective Complaint Handling for local authorities. Due to their popularity we are running six more open courses for local authorities in 2019-20, in York, Manchester, Coventry and London. To find out more visit www.lgo.org.uk/training.

Finally, I am conscious of the resource pressures that many authorities are working within, and which are often the context for the problems that we investigate. In response to that situation we have published a significant piece of research this year looking at some of the

common issues we are finding as a result of change and budget constraints. Called, [Under Pressure](#), this report provides a contribution to the debate about how local government can navigate the unprecedented changes affecting the sector. I commend this to you, along with our revised guidance on [Good Administrative Practice](#). I hope that together these are a timely reminder of the value of getting the basics right at a time of great change.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'M King', with a horizontal line underneath.

Michael King
Local Government and Social Care Ombudsman
Chair, Commission for Local Administration in England

Local Authority Report: Runnymede Borough Council
For the Period Ending: 31/03/2019

For further information on how to interpret our statistics, please visit our [website](#)

Complaints and enquiries received

Adult Care Services	Benefits and Tax	Corporate and Other Services	Education and Children's Services	Environment Services	Highways and Transport	Housing	Planning and Development	Other	Total
0	1	0	1	0	0	5	4	0	11

Decisions made

Decisions made				Detailed Investigations			
Incomplete or Invalid	Advice Given	Referred back for Local Resolution	Closed After Initial Enquiries	Not Upheld	Upheld	Uphold Rate (%)	Total
0	0	6	2	1	1	50	10

Note: The uphold rate shows how often we found evidence of fault. It is expressed as a percentage of the total number of detailed investigations we completed.

Satisfactory remedy provided by authority

Upheld cases where the authority had provided a satisfactory remedy before the complaint reached the Ombudsman	% of upheld cases
0	0

Note: These are the cases in which we decided that, while the authority did get things wrong, it offered a satisfactory way to resolve it before the complaint came to us.

Compliance with Ombudsman recommendations

Complaints where compliance with the recommended remedy was recorded during the year*	Complaints where the authority complied with our recommendations on-time	Complaints where the authority complied with our recommendations late	Complaints where the authority has not complied with our recommendations	
0	0	0	0	Number
	0%		-	Compliance rate**
<p>Notes: * This is the number of complaints where we have recorded a response (or failure to respond) to our recommendation for a remedy during the reporting year. This includes complaints that may have been decided in the preceding year but where the data for compliance falls within the current reporting year. ** The compliance rate is based on the number of complaints where the authority has provided evidence of their compliance with our recommendations to remedy a fault. This includes instances where an authority has accepted and implemented our recommendation but provided late evidence of that.</p>				

Authority	2015/16	2015/16	2016/17	2016/17	2017/18	2017/18	2018/19	2018/19
	complaints received and (number of decisions)	complaints upheld	complaints received and (number of decisions)	complaints upheld	complaints received and (number of decisions)	complaints upheld	complaints received and (number of decisions)	complaints upheld
Elmbridge	18 (18)	4	27 (27)	1	20 (25)	3	15 (10)	1
Epsom and Ewell	19 (16)	4	15 (19)	2	15 (15)	1	23 (22)	2
Guildford	16 (17)	4	28 (29)	1	22 (19)	1	30 (28)	2
Mole Valley	14 (13)	0	3 (4)	1	20 (18)	1	15 (16)	1
Reigate and Banstead	21 (22)	4	18 (17)	2	16 (17)	1	9 (8)	1
Runnymede	13 (12)	1	12 (13)	3	11 (11)	0	11 (10)	1
Spelthorne	12 (12)	1	8 (9)	1	13 (11)	3	16 (17)	0
Surrey Heath	12 (10)	1	16 (16)	0	18 (15)	0	15 (14)	1
Surrey County Council	167 (163)	20	185 (188)	35	132 (139)	18	168 (147)	26
Tandridge	22 (25)	2	11 (12)	2	8 (9)	0	16 (14)	0
Waverley	26 (26)	4	23 (19)	1	18 (22)	2	14 (13)	1
Woking	12 (14)	2	20 (19)	0	12 (12)	0	13 (13)	1

Complaints and Enquiries Decided (by Outcome) 2018-19

Authority Name	Invalid or Incomplete	Advice Given	Referred Back for Local Resolution	Closed after Initial Enquiries	Not Upheld	Upheld	Total	Uphold Rate (%)	Average uphold rate (%) of similar authorities
Elmbridge Borough Council	0	0	5	4	0	1	10	100	43
Epsom & Ewell Borough Council	0	0	13	6	1	2	22	67	43
Guildford Borough Council	0	2	9	11	4	2	28	33	43
Mole Valley District Council	0	0	1	10	4	1	16	20	43
Reigate & Banstead Borough Council	0	0	3	1	3	1	8	25	43
Runnymede Borough Council	0	0	6	2	1	1	10	50	43
Spelthorne Borough Council	2	0	6	7	2	0	17	0	43
Surrey County Council	6	1	54	43	17	26	147	60	64
Surrey Heath Borough Council	2	0	2	5	4	1	14	20	43
Tandridge District Council	3	2	2	7	0	0	14	0	43
Waverley Borough Council	2	0	1	9	0	1	13	100	43
Woking Borough Council	0	0	3	5	4	1	13	20	43
Totals	15	5	105	110	40	37	312	41	
Totals Nationally	896	538	5702	5150	1786	2446	16518	58%	

Notes

These statistics include all complaints and enquiries that were decided from 01 April 2018 to 31 March 2019.

Some cases are received and decided in different business years. This means the number of complaints and enquiries received may not match the number of decisions made.

For more information on how to interpret our statistics, please visit: <http://www.lgo.org.uk/information-centre/reports/annual-review-reports/interpreting-local-authority-statistics>

Remedy and compliance outcomes 2018-19

Authority Name	Number of upheld complaints	Uphold Rate (%)	Average uphold rate (%) of similar authorities	Upheld cases where the authority had provided a satisfactory remedy before the complaint reached the Ombudsman (%)	Average satisfactory remedy rate of similar authorities (%)	Number of cases with a compliance outcome recorded during the year	Cases we were satisfied the authority successfully implemented our recommendations to remedy the complaint (compliance rate) (%)	Average compliance rate of similar authorities (%)
Elmbridge Borough Council	1	100	43	0	12	0	0	99
Epsom & Ewell Borough Council	2	67	43	100	12	0	0	99
Guildford Borough Council	2	33	43	50	12	0	0	99
Mole Valley District Council	1	20	43	0	12	1	100	99
Reigate & Banstead Borough Council	1	25	43	0	12	1	100	99
Runnymede Borough Council	1	50	43	0	12	0	0	99
Spelthorne Borough Council	0	0	43	0	12	0	0	99
Surrey County Council	26	60	64	4	9	20	100	99
Surrey Heath Borough Council	1	20	43	0	12	1	100	99
Tandridge District Council	0	0	43	0	12	0	0	99
Waverley Borough Council	1	100	43	0	12	0	0	99
Woking Borough Council	1	20	43	0	12	0	0	99
Totals	37	41				23		
Totals Nationally	2446	58				1957		

Notes

These statistics include remedy and compliance outcomes recorded between 01 April 2018 and 31 March 2019.

Some cases are received and decided in different business years; compliance outcomes may also fall in different business years. This means the number of complaints upheld may not match the number of remedy and compliance outcomes recorded.

For more information on how to interpret our statistics, please visit: <http://www.lgo.org.uk/information-centre/reports/annual-review-reports/interpreting-local-authority-statistics>

Complaints and Enquiries Received (by Category) 2018-19

Authority Name	Adult Social Care	Benefits and Tax	Corporate and Other Services	Education and Children's Services	Environmental Services, Public Protection and Regulation	Highways and Transport	Housing	Planning and Development	Other	Total
Elmbridge Borough Council	0	1	1	0	1	2	3	7	0	15
Epsom & Ewell Borough Council	0	4	1	0	6	3	4	5	0	23
Guildford Borough Council	0	5	2	0	3	1	6	13	0	30
Mole Valley District Council	0	0	1	0	4	1	2	7	0	15
Reigate & Banstead Borough Council	0	0	1	0	2	1	1	4	0	9
Runnymede Borough Council	0	1	0	1	0	0	5	4	0	11
Spelthorne Borough Council	1	1	0	0	3	3	5	3	0	16
Surrey County Council	48	0	6	76	8	25	1	3	1	168
Surrey Heath Borough Council	0	2	2	0	3	2	1	5	0	15
Tandridge District Council	1	2	2	0	1	1	0	6	3	16
Waverley Borough Council	1	3	1	0	0	0	0	9	0	14
Woking Borough Council	0	3	1	0	1	1	2	5	0	13
Totals	51	22	18	77	32	40	30	71	4	345
Totals Nationally	2555	1815	1031	3196	2005	1880	2024	2190	203	16899

Notes

These statistics include all complaints and enquiries that were received from 01 April 2018 to 31 March 2019.

Some cases are received and decided in different business years. This means the number of complaints and enquiries received may not match the number of decisions made.

For more information on how to interpret our statistics, please visit: <http://www.lgo.org.uk/information-centre/reports/annual-review-reports/interpreting-local-authority-statistics>

10. 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> | Paras |
| 11. | ADDLESTONE ONE RISK REGISTER | 1 and 3 |
| b) | <u>Confidential Items</u> | |
| | (No items to be considered under this heading) | |