

Notice of Meeting

Communities Select Committee



Date & time
Thursday, 25
September 2014
at 11.00 am

A private
workshop for
members will be
held in the Shift
Space at 9.30am-
11.00am

Place
Ashcombe Suite,
County Hall, Kingston
upon Thames, Surrey
KT1 2DN

Contact
Victoria White or Rianna
Hanford
Room 122, County Hall
Tel 020 8213 2583 or 020
8213 2662

Chief Executive
David McNulty

victoria.white@surreycc.gov.uk or
rianna.hanford@surreycc.gov.uk

If you would like a copy of this agenda or the attached papers in another format, eg large print or braille, or another language please either call 020 8541 9122, write to Democratic Services, Room 122, County Hall, Penrhyn Road, Kingston upon Thames, Surrey KT1 2DN, Minicom 020 8541 8914, fax 020 8541 9009, or email victoria.white@surreycc.gov.uk or rianna.hanford@surreycc.gov.uk.

This meeting will be held in public. If you would like to attend and you have any special requirements, please contact Victoria White or Rianna Hanford on 020 8213 2583 or 020 8213 2662.

Members

Mrs Denise Saliagopoulos (Chairman), Mr Chris Norman (Vice-Chairman), Mr Mike Bennison, Mrs Yvonna Lay, Mrs Jan Mason, Mr John Orrick, Mr Saj Hussain, Mrs Mary Lewis, Mr Chris Pitt, Ms Barbara Thomson, Mr Alan Young and Mr Robert Evans

Ex Officio Members:

Mrs Sally Ann B Marks (Vice Chairman of the County Council) and Mr David Munro (Chairman of the County Council)

Cabinet Members:

Mrs Helyn Clack (Cabinet Member for Community Services), Mrs Kay Hammond (Cabinet Associate for Fire and Police Services)

TERMS OF REFERENCE

The Select Committee is responsible for the following areas:

| | |
|-------------------------------------|--|
| Community Safety | Adult and Community Learning |
| Crime and Disorder Reduction | Cultural Services |
| Relations with the Police | Sport |
| Fire and Rescue Service | Voluntary Sector Relations |
| Localism | Heritage |
| Major Cultural and Community Events | Citizenship |
| Arts | Registration Services |
| Customer Services | Trading Standards and Environmental Health |
| Library Services | Legacy and Tourism |

PART 1 IN PUBLIC

1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS

2 MINUTES OF THE PREVIOUS MEETING: 23 JULY 2014

(Pages 1
- 8)

To agree the minutes as a true record of the meeting held on Wednesday 23 July 2014.

3 DECLARATIONS OF INTEREST

To receive any declarations of disclosable pecuniary interests from Members in respect of any item to be considered at the meeting.

Notes:

- In line with the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012, declarations may relate to the interest of the member, or the member's spouse or civil partner, or a person with whom the member is living as husband or wife, or a person with whom the member is living as if they were civil partners and the member is aware they have the interest.
- Members need only disclose interests not currently listed on the Register of Disclosable Pecuniary Interests.
- Members must notify the Monitoring Officer of any interests disclosed at the meeting so they may be added to the Register.
- Members are reminded that they must not participate in any item where they have a disclosable pecuniary interest.

4 QUESTIONS AND PETITIONS

To receive any questions or petitions.

Notes:

1. The deadline for Member's questions is 12.00pm four working days before the meeting (*Friday 19 September*).
2. The deadline for public questions is seven days before the meeting (*Thursday 18 September*).
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

5 RESPONSES FROM THE CABINET TO ISSUES REFERRED BY THE SELECT COMMITTEE

There are no responses to report.

6 RECOMMENDATION TRACKER AND FORWARD WORK PROGRAMME

(Pages 9
- 20)

The Committee is asked to monitor progress on the implementation of recommendations from previous meetings, and to review its Forward Work Programme.

- 7 CREATION OF A JOINT TRADING STANDARDS SERVICE WITH BUCKINGHAMSHIRE COUNTY COUNCIL** (Pages 21 - 62)

Purpose of the report:

To consult the Select Committee on recommendations to create a new Joint Trading Standards Service with Buckinghamshire County Council. The recommendation is due to be considered by Cabinet on 21st October.

- 8 INTERNAL AUDIT REPORT - REVIEW OF SURREY ARTS 2013/14** (Pages 63 - 68)

Purpose of the report: Scrutiny of Services

To review the summary of audit findings and Management Action Plan produced as a result of an internal audit review of Surrey Arts 2013/14.

- 9 MAGNA CARTA UPDATE** (Pages 69 - 72)

A brief verbal update on the Magna Carta programme.

- 10 APPOINTMENT OF A PERFORMANCE AND FINANCE SUBGROUP** (Pages 73 - 74)

Purpose of the report: Scrutiny of Services and Budgets

The Chairman will appoint a Performance & Finance sub-group to carry out reviews of service budgets as part of this year's business planning process.

- 11 ASSISTANT CHIEF FIRE OFFICER UPDATE**

Verbal update on the Surrey Fire and Rescue service from the Assistant Chief Fire Officer.

- 12 DATE OF NEXT MEETING**

The next meeting of the Committee will be an extraordinary meeting to consider the Annual Scrutiny of Community Safety Partnerships and will be held at 10.00am on Monday 20 October 2014.

David McNulty
Chief Executive
Published: 16/09/2014

MOBILE TECHNOLOGY AND FILMING – ACCEPTABLE USE

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It is requested that if you are not using your mobile device for any of the activities outlined above, it be switched off or placed in silent mode during the meeting to prevent interruptions and interference with PA and Induction Loop systems.

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Note: *This meeting may be filmed for live or subsequent broadcast via the Council's internet site - at the start of the meeting the Chairman will confirm if all or part of the meeting is being filmed. The images and sound recording may be used for training purposes within the Council.*

Generally the public seating areas are not filmed. However by entering the meeting room and using the public seating area, you are consenting to being filmed and to the possible use of those images and sound recordings for webcasting and/or training purposes.

If you have any queries regarding this, please contact the representative of Legal and Democratic Services at the meeting

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MINUTES of the meeting of the **COMMUNITIES SELECT COMMITTEE** held at 10.00 am on 23 July 2014.

These minutes are subject to confirmation by the Committee at its meeting on Thursday, 25 September 2014.

Elected Members:

Mrs Denise Saliagopoulos (Chairman)
Mr Chris Norman (Vice-Chairman)
Mr Mike Bennison
Mrs Yvonna Lay
Mrs Jan Mason
Mr John Orrick
Mr Saj Hussain
Mrs Mary Lewis
Mr Chris Pitt
Ms Barbara Thomson
Mr Alan Young
Mr Robert Evans
* Mr David Ivison
* Mr Colin Kemp

Ex officio Members:

Mrs Sally Ann B Marks, Vice Chairman of the County Council
Mr David Munro, Chairman of the County Council

Co-opted Members:

Substitute Members:

Mr Chris Pitt
Mr Alan Young

In attendance

37/14 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS [Item 1]

Apologies were received from the Cabinet Member for Community Services, Helyn Clack and Committee Members Chris Pitt and Alan Young.

David Ivison substituted for Chris Pitt and Colin Kemp substituted for Alan Young.

Apologies were also noted from Yvonne Rees, Strategic Director for Customers & Communities and Russell Pearson, Chief Fire Officer.

38/14 MINUTES OF THE PREVIOUS MEETING: 19 MAY 2014 [Item 2]

The minutes of the meeting on 19 May 2014 were agreed as a true record of the meeting.

39/14 DECLARATIONS OF INTEREST [Item 3]

None were received.

40/14 QUESTIONS AND PETITIONS [Item 4]

None were received.

41/14 RESPONSES FROM THE CABINET TO ISSUES REFERRED BY THE SELECT COMMITTEE [Item 5]

None were received.

42/14 RECOMMENDATION TRACKER AND FORWARD WORK PROGRAMME [Item 6]**Key points raised during the discussion:**

1. The Committee agreed that the Interim Head of Adult Social Care should attend the Public Safety Plan item in September. It was added that it would be beneficial for Cabinet members to be present at every Select Committee or to send an update beforehand.
2. Regarding the Governance of Cultural Services item on the Forward Plan; it was agreed that a proposal from the service should be produced sooner rather than later regarding Business Plan and Income Strategy.
3. It was suggested and agreed that a report on the contract with Specialist Group International (SGI) should be included on the Forward Work Programme.

43/14 REGULATION OF INVESTIGATORY POWERS ACT 2000 (RIPA) REVIEW 2013/14 [Item 7]

Witnesses:

Ian Treacher, Policy and Operations Team Manager
Lee Ormandy, Business Intelligence and Legal Manager

Key points raised during the discussion:

1. The Committee was informed that although the RIPA report is for Surrey County Council, Trading Standards was the only service that had utilised the Act. The Committee questioned whether the new scrutiny element could make the service more hesitant to use and was responsible for the decline of use RIPA over recent years. It was explained that this is not the case; there was a change in focus to concentrate more on operations where intelligence indicates necessity.
2. The Committee was informed of the joint working with enforcement agencies such as Surrey Police and neighbouring counties, and that an integrated intelligence model was developed with neighbours. It was added that this network met regularly with 19 South East authorities and recognised that joint working was key.
3. The Committee raised concern over training and asked whether training was up to date if RIPA was rarely used. Officers advised that there was a training requirement and it was mandatory that skills were maintained.
4. It was noted that in the event of some cases such as covert human intelligence source (CHIS) that the Police usually form part of the operations although this is not a requirement.
5. The Committee asked whether there were any restrictions that make the process of RIPA difficult to implement. Officers said there was robust scrutiny of applications to ensure good practice.
6. The Committee raised the question of substance misuse and whether there was direct surveillance to target this. Officers stated that substance abuse covered a wide variety of products, some of which were directly covered by legislation. However there was no specific legislation designed to address New Psychoactive Substances. It was added that they were working with Surrey Police to develop a process to target this national issue.
7. The Committee also raised the concern that persons found guilty of fraud could start again under a different name, once the process had ended. The officers responded that previous convictions were key to identification of fraud and data sharing with neighbouring counties assisted this.
8. The Committee asked if there was assurance that referrals of cases were passed on to the relevant authorities. Officers responded that most contact is done through the Citizens Advice Bureau and all

information was passed onto the police and other relevant agencies. It was added that signposting does occur and a 'tip off' website would soon be launched. The Committee added to this point by stating that Surrey County Council Trading Standards need to be re-affirmed as the main contact for fraud as well as the Police.

Recommendations

The Committee

- Congratulated Trading Standards on their excellent work.
- Requested a briefing from Trading Standards on substance misuse.
- Requests that Trading Standards works on ways to encourage councillors to assist the service in acquiring information, and to pass on contact details to councillors.
- Recommended that Trading Standards continue to build and explore further ways and opportunities to work with districts and boroughs and other partners.

44/14 THE VISION FOR COMMUNITY LEARNING & SKILLS [Item 8]

Witnesses:

Paul Hoffman, Principal Community Learning and Skills
 Mark Irons, Head of Customer Services
 Leszcek Skrzypczak, Business Development Manager

Key points raised during the discussion:

1. The officers introduced the report and displayed the new adult learning web page on the projector. The Principal Community Learning and Skills explained the current key work was around security and user testing to ensure the web page was ready to launch. Staff user testing would happen in the week commencing 28 July 2014 with an estimated launch date of 1 August 2014. The officers explained the improvements included on the new website, including better mobile use, ability to search by postcode or course name and consistency and easier navigation. They also added that the website format had been voted one of the best nationally. It was noted that the use of small add-on sites were trying to be minimised. The Committee commented that staff testing the website would already be familiar with the navigation therefore testing will not be as effective. Officers responded that as well as staff testing the website, members of the public in libraries were also user testing to ensure a range of perspectives.

2. Officers explained that there would not be a standalone website due to the fact that with a separate URL, it is necessary to market the separate website and site visit numbers would start again. This would mean the web link would be at the bottom of web searches making the website harder to access by the public. Officers added that the scope of a standalone website could be re-visited next year after success and usage has been measured.
3. The Committee discussed options to make adult learning courses more accessible, including brochures in libraries, for people who are not computer literate or do not have access to the internet. By ensuring adult learning information was widely accessible it would encourage people of all ages to enrol. It was also added that transport routes should be made clearer on the course information for attendees who live in different areas. Officers responded that brochures offering information for the whole academic year are available in libraries; they also added that transport links would be addressed and it is possible to use Travel Smart for this.
4. The Committee felt that it was imperative that the website was operational for September enrolments, and agreed to write to IMT on this issue. The Chairman congratulated officers for the progression of the Adult Learning and Skills website and added that the service should be given time to sort out the smaller details. It was requested that brochures with course details be distributed into Members' pigeon holes.

Recommendations

- The Service seeks the continued support of the Select Committee to meet its aspiration to have a web presence the equal of the best in the Adult Learning Sector.
- The Select Committee to continue to monitor progress on the matter, and for the Service to include an update in the annual reporting cycle and an additional written update in September 2014.
- The Service to work on integrating transport options into course information.
- The Committee to write to the Head of IMT to stress the importance of the website being operational for September enrolments.

45/14 FULL YEAR OUTCOMES-BASED PERFORMANCE REPORT ON VOLUNTARY, COMMUNITY AND FAITH SECTOR INFRASTRUCTURE IN SURREY [Item 9]

Witnesses:

Rachel Crossley, Lead for New Models of Delivery
Saba Hussain, Policy and Strategic Partnerships Manager

Key points raised during the discussion:

1. Officers explained that the infrastructure organisations are co-commissioned by the County Council, Clinical Commissioning Group (CCGs) and District and Borough Councils. The Performance Framework has been in place for a full year and demonstrates good delivery of the co-designed outcomes that are being commissioned through the infrastructure organisations. A full year's data is now available so there is a clearer picture on where things are working well and where we need to drive improvement.
2. The Committee questioned whether value for money was being received in terms of Surrey Community Action. Officers responded that for the amount of money invested in the organisation (£100,000) more work needed to be done to ensure success and value for money. Officers stated that Surrey CA has had a busy year it was important to demonstrate the real difference that is being made. It was added that Surrey County Council was the only source of core funding for Surrey CA, and they were not co-commissioned like the local CVSs.
3. Officers said that review meetings of the infrastructure organisations have taken place jointly with co-commissioners to ensure we are both identifying and targeting priority areas of work, building on best practice and ensuring areas of weakness are identified and remedied.
4. The Committee questioned the clarity of volunteer placement information. Officers explained that there are some variables hidden in the placements and as part of the review meetings some of these have been identified. Going forward the information should be clearer and reduce some of the differences in recording.
5. The Committee began a discussion around staff volunteering through the Employee Volunteering Scheme (EVS) and questioned the time cost this involves. The officers explained that in total last year 340 days were taken as volunteering which in total spanning all staff is not a high number. It was added that the majority of these days are one off team volunteering days and these supported local organisations as well as staff personal development. More work is being done to drive up use of the EVS and better use the range of skills in the County Council to meet the needs of Surrey's communities.
6. The Committee congratulated officers on the helpful executive summary provided.

Recommendations:

The Committee

- Notes the outcomes-based performance management framework information provided in the report covering the 2013-14 period
- Supports the direction of travel with the performance management framework and continuation of current arrangements, and

- Agrees the Committee would like to review performance framework information going forward on an annual basis.

46/14 UPDATE FROM THE CHIEF FIRE OFFICER [Item 10]

Witnesses:

Mary Lewis, Chairman of Member Reference Group for SFRS Transformation and PSP (MRG)

Key Points Raised During the Discussion:

1. The Chairman of the MRG gave an overview of the recent work and outcomes undertaken by the MRG. She noted that the aim of the MRG was to look at the refresh of the Public Safety Plan but that current discussions were affected by the workforce transformation programme and collaborations. The White Paper was being worked on and the following high level outcomes were recorded: equitable access to the service, improved safety of communities, improved outcomes through partnership and improved culture of continuous improvement. If these outcomes were achieved it would result in improved safety through a reduced budget.
2. The Committee questioned the relationship between the MRG and the Fire and Risk Advisory Group (FRAG) and whether there is a risk of duplication. Officers agreed to clarify the position outside of the meeting.
3. It was requested by the Chairman that the minutes of the MRG which supplemented the recommendations be made available at future meetings.

Recommendations:

The Communities Select Committee endorse the Member Reference Group recommendations:

- That a letter be sent to the Cabinet Member and Chief Executive to support that the profit of any income generated by SFRS that is paid into any trading company set up by Surrey County Council should be returned to SFRS for their use
- That the Committee supports SFRS' work with other counties towards a system of sharing services and removing artificial borders, so that the nearest available appliance is mobilised in an emergency situation.

47/14 DATE OF NEXT MEETING [Item 11]

The Committee noted the next Communities Select Committee would be on Thursday 25 September

Meeting ended at: 12.17

Chairman

**COMMUNITIES SELECT COMMITTEE 2014
ACTIONS AND RECOMMENDATIONS TRACKER – 25 SEPTEMBER 2014**

The recommendations tracker allows Committee Members to monitor responses, actions and outcomes against their recommendations or requests for further action. The tracker is updated following each Committee. Once an action has been achieved and reported to the Committee it will be removed from the tracker.

| Date of meeting | Item | Recommendations/Actions | Achieved/Outstanding? | Deadline | Responsible Cabinet Member/Member/Officer |
|-----------------|---|--|---|--------------------------------------|---|
| 20 MARCH 2014 | VISION FOR SURREY'S ADULT LEARNING SERVICE | That the Chief Digital Officer work with the Adult Learning Service to develop a standalone website to enable online booking for courses and effectively market the service. This is to maximise the potential of the service and ensure its sustainability. Report back to the Communities Select Committee on progress of this development in 3 months time. | <p>COMPLETED</p> <p>The Chairman sent a letter to the Chief Digital Officer (copying in relevant officers and Cabinet members) with this recommendation to take forward. It has become apparent that the Head of Information Technology and the Head of Customer Services together with Cultural Services, not the Chief Digital Officer, are responsible for taking this recommendation forward. The recommendation will be amended to reflect this. Their response is as follows:</p> <ul style="list-style-type: none"> •Adult Learning, IMT and Customer Services have been working on this. •The Adult Learning web pages are currently being redesigned and a new 'course finder' module is being developed. The 'go-live' for these improvements is June 14. <p>The new Adult Learning web pages will take advantage of the new website design. The new approach allows individual Services much greater flexibility over the 'look and feel' whilst, still presenting a single, coherent overall SCC website for customers.</p> <p>An update report on progress of development of Adult Learning website and online enrolment has been added to the agenda for July 2014.</p> | July 2014 | <p>Mark Irons Paul Brocklehurst Peter Milton Paul Hoffman Susie Kemp</p> <p>Helyn Clack Denise Le Gal</p> |
| 20 MARCH 2014 | VISION FOR SURREY'S LIBRARY SERVICE | The Library Service to explore the funding opportunities from the education sector in respect of STEM subjects (science, technology, engineering and mathematics), to improve IT provision in Surrey libraries. | <p>COMPLETED</p> <p>The Chairman has sent a letter to the Head of Cultural Services (copying in relevant officers and cabinet members) with this recommendation to take forward.</p> <p>Response:</p> <ul style="list-style-type: none"> •Information will be gathered on Government and education approaches to encouraging study and delivery of STEM subjects (end of July) | Update for tracker in September 2014 | <p>Peter Milton Rose Wilson Susie Kemp</p> <p>Helyn Clack</p> |

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| | | | <ul style="list-style-type: none"> •Contact and explore funding with a range of potential partners (end of September) •Assess stem strategies as possible source of funding/IT initiatives and report to Select Committee on viability. <p>An update was requested for the tracker in September which is below:</p> <p>Update – September 2014 The library service has made contact with the STEM centre at the University of York, and is taking advice from Shared Intelligence, the body responsible for the Arts Council England Report <i>Envisioning the Libraries of the Future</i>. STEM funding is available for educational initiatives and the service has not found any funding streams directly aimed at libraries, but it is clear there are opportunities particularly aimed at girls and for computer coding. The library service is investigating local initiatives such as SATRO which works to help young people with career related skills, and have been to visit the Fab Lab at Exeter library, a new form of library space full of computing and technological equipment.</p> | | |
| <p>20 MARCH 2014</p> | <p>VISION FOR SURREY'S LIBRARY SERVICE</p> | <p>Surrey's Library Service to talk to other libraries on a similar journey to create the library of the future, to share best practice and learning.</p> | <p>COMPLETED</p> <p>The Chairman has sent a letter to the Head of Cultural Services (copying in relevant officers and cabinet members) with this recommendation to take forward.</p> <p>Response:</p> <ul style="list-style-type: none"> •Will Increase range of activities to collect user and non-user feedback and ideas to inform planning •Senior library staff to research and attend a range of policy briefings workshops and seminars looking at the future of libraries (ongoing) •Library staff to proactively exploit current contacts, professional groups and peers to look at best practice (ongoing) | <p>Update for tracker in September 2014</p> | <p>Peter Milton Rose Wilson Susie Kemp Helyn Clack</p> |

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| | | | <p>An update was requested for the tracker in September which is below:</p> <p>Update – September 2014 The library service has just completed an initial pilot project collecting customer views, feedback and ideas. This will be evaluated and is likely to be extended to all libraries as user response has been useful. The library service is in contact with Leeds about their 24/7 library, Devon about their Fab Lab, Sheffield about their collaborative workspaces, Manchester about their initiatives helping girls into Science, and The society of Chief Librarians visual impairment group about assistive technology. In addition, the national libraries Digital Offer workgroup which is an offshoot of the Society of Chief Librarians has been reconvened and Helen Leech from Surrey has been appointed representative for the South East.</p> | | |
| <p>MARCH 2014</p> | <p>VISION FOR SURREY'S LIBRARY SERVICE</p> | <p>That the Chief Digital Officer work with the Library Service to develop their IT provision as part of the Council's development of their Digital Strategy.</p> | <p>COMPLETED</p> <p>The Chairman has sent a letter to the Head of Cultural Services (copying in relevant officers and cabinet members) with this recommendation to take forward. It has become apparent that the Head of Information Technology, Head of Customer Services, Head of Procurement and Cultural Services, not the Chief Digital Officer is responsible for taking this recommendation forward. The recommendation will be amended to reflect this.</p> <p>Response:</p> <ul style="list-style-type: none"> ●Libraries to create discussion paper on library IT issues and future needs (end of July) ●Libraries and Head of Cultural Services to meet with Head of Procurement and Head of IMT to agree options to be explored and develop action plan (August) ●Commence work on a range of options (September) | <p>Update for tracker in September 2014</p> | <p>Mark Irons Paul Brocklehurst Laura Langstaff Peter Milton Rose Wilson Susie Kemp</p> <p>Helyn Clack Denise Le Gal</p> |

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| | | | <p>An update was requested for the tracker in September which is below:</p> <p>Update – September 2014 The library service has met with the Head of IMT and has completed a draft Digital Strategy for libraries. This comprehensive draft has been approved by the Head of Cultural Services for further work and discussion with IMT.</p> | | |
| 19 MAY 2014 | CABINET MEMBER (AND ASSOCIATE) PRIORITIES FOR YEAR AHEAD | The Committee supports the Cabinet Member and Associate priorities. | <p>COMPLETED</p> <p>Cabinet Member and Associate be invited to attend a future Committee meeting to update Members on their priorities.</p> <p>Update: Scheduled on Forward Work Programme for January 2015.</p> | Update at meeting in January 2015 | Helyn Clack Kay Hammond |
| 19 MAY 2014 | UPDATE ON MAGNA CARTA PROPOSALS | The Committee continues to receive updates on Magna Carta, including the funding position from the Heritage Lottery Fund. | <p>ONGOING</p> <p>A verbal update will be given at the January 2015 meeting and a short verbal update given at the September 2014 meeting. Please see under that item in this agenda for a written update.</p> | Update for tracker in September 2014 | Peter Milton Geri Silverstone Susie Kemp Helyn Clack |
| 19 MAY 2014 | PROGRESS REPORT ON COMMUNITY SAFETY PARTNERSHIPS (FOLLOWING RECOMMENDATIONS MADE AT THE ANNUAL SCRUTINY MEETING ON 31 OCTOBER 2013) | The Committee will receive a further update on collaborative working between Community Safety Partnerships – including lessons learned from the East Division CSPs. | <p>COMPLETED</p> <p>The East Division CSPs are planning to have a first meeting in July 2014. Seek update in six months (March 2015).</p> <p>Update: Scheduled on Forward Work Programme, under Recommendations Tracker updates for tracker update in March 2015.</p> | Update for tracker in March 2015. | Jane Last Louise Gibbins |
| 19 MAY 2014 | PROGRESS REPORT ON COMMUNITY SAFETY PARTNERSHIPS (FOLLOWING RECOMMENDATIONS MADE AT THE ANNUAL SCRUTINY MEETING ON 31 OCTOBER 2013) | Officers to provide a breakdown of HMIC report by District/Borough areas. | <p>COMPLETED</p> <p>Officers do not have access to the data as it is an HMIC report. If the Committee would like further information and data on domestic abuse in the county, by district and borough, officers are happy to provide.</p> | Update for tracker in September 2014 | Jane Last Louise Gibbins Richard Carpenter |

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| 23 JULY 2014 | REGULATION OF INVESTIGATORY POWERS ACT 2000 (RIPA) REVIEW 2013-14 | The Committee request a briefing from Trading Standards on substance misuse. | ONGOING Officers to work with Trading Standards to provide an appropriate briefing. | As soon as possible | Yvonne Rees Steve Ruddy Ian Treacher Lee Ormandy Helyn Clack |
| 23 JULY 2014 | REGULATION OF INVESTIGATORY POWERS ACT 2000 (RIPA) REVIEW 2013-14 | The Committee requests that Trading Standards works on ways to encourage councillors to assist the Service in acquiring information and to pass on their contact details to councillors. | COMPLETED Update – July 2014 Trading Standards will put together some brief guidance about the types of information/intelligence that would be most useful and a system that Members can use to contact them. Trading Standards are developing an online reporting system which is particularly important in relation to building reports to enable justified RIPA use on underage test purchase operations. Update – September 2014: Scheduled on Forward Work Programme, under Recommendations Tracker updates for tracker update in January 2015. | Update for tracker in January 2015 | Yvonne Rees Steve Ruddy Ian Treacher Lee Ormandy Helyn Clack |
| 23 JULY 2014 | REGULATION OF INVESTIGATORY POWERS ACT 2000 (RIPA) REVIEW 2013-14 | Trading Standards continue to build and explore yet further ways and opportunities to work with districts and boroughs and other partners. | COMPLETED Update – July 2014 <ul style="list-style-type: none"> ● Trading Standards are part of the Police Commissioner initiative at Reigate & Banstead and Spelthorne. ● TS have named contact officers for each district and borough in addition to their Intelligence Unit. They respond to the local joint committees providing an annual report on request and attend joint meetings when requested. ● TS are working with Economic Development on business support ● They meet with Environmental Health colleagues and Alcohol Licensing Teams, sharing vital information and intelligence. ● TS Alerts are distributed to all their relevant officers and units, which works very well with community safety links and community initiatives. | Update for tracker in January 2015 | Yvonne Rees Steve Ruddy Ian Treacher Lee Ormandy Helyn Clack |

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|--------------|---|---|---|--|---|
| | | | <ul style="list-style-type: none"> Other recent examples of direct activity has been with illegal money lending and the counterfeit tobacco campaigns <p>Update – September 2014: Scheduled on Forward Work Programme, under Recommendations Tracker updates for tracker update in January 2015.</p> | | |
| 23 JULY 2014 | THE VISION FOR COMMUNITY LEARNING AND SKILLS | The Select Committee to continue to monitor progress on the matter and for the Service to include an update in the annual reporting cycle and an additional written update in September 2014. | <p>COMPLETED</p> <p>Written update for September 2014: Please see update below, for the action on website being operational in time for enrolments.</p> <p>Item added to forward work programme for July 2015 to ensure progress continues to be monitored.</p> <p>NB – Adult Community Learning course brochures have been sent to Committee members via pigeon holes.</p> | <p>Tracker update in September 2014</p> <p>Progress check in July 2015</p> | <p>Mark Irons Paul Brocklehurst Peter Milton Paul Hoffman Susie Kemp</p> <p>Helyn Clack Denise Le Gal</p> |
| 23 JULY 2014 | THE VISION FOR COMMUNITY LEARNING AND SKILLS | The Service work on integrating transport options into course information. | <p>ONGOING</p> <p>An update will be provided as soon as possible.</p> | <p>Tracker update in September 2014</p> | <p>Mark Irons Paul Brocklehurst Peter Milton Paul Hoffman Susie Kemp</p> <p>Helyn Clack Denise Le Gal</p> |
| 23 JULY 2014 | THE VISION FOR COMMUNITY LEARNING AND SKILLS | The Committee write to the Head of IMT to stress the importance of the website being operational for September enrolments. | <p>COMPLETED</p> <p>The Chairman wrote to the Head of IMT on 22 August 2014. A response was received from Paul Brocklehurst on 22 August 2014 stating that it is a top priority for IMT: 'IMT has reviewed this project and whilst there is a lot of work still to complete they will strive to meet a user acceptance start date of 29/8/2014.</p> <p>It is only worth completing the external penetration tests once the system is stable and well into UAT - IMT will have resources lined up for this which would allow go-live on 15th September.'</p> | <p>Tracker update in September 2014</p> | <p>Denise Saliagopoulos Victoria White</p> <p>Paul Brocklehurst</p> |

| | | | | | |
|--------------|--|--|---|--------------------------------------|--|
| | | | <p>Update from Paul Hoffman: 15 September 2014</p> <p>'The changes have been implemented and are ready for User Acceptance Testing. Today is the start of term, the team who could carry out this testing is fully occupied with taking enrolments. We have therefore taken the decision to delay the start of testing until the end of next week.'</p> | | |
| 23 JULY 2014 | FULL YEAR OUTCOMES-BASED PERFORMANCE REPORT ON VOLUNTARY, COMMUNITY AND FAITH SECTOR INFRASTRUCTURE IN SURREY | The Committee would like to review performance framework information on an annual basis. | <p>COMPLETED</p> <p>Added to forward work programme for July 2015.</p> | July 2015 | <p>Rachel Crossley Saba Hussain</p> <p>Helyn Clack</p> |
| 23 JULY 2014 | UPDATE FROM THE CHIEF FIRE OFFICER | <p>The Communities Select Committee endorses the Member Reference Group on SFRS Transformation and PSP's recommendations:</p> <ul style="list-style-type: none"> • That a letter be sent to the Cabinet Associate and Chief Executive to support that the profit of any income generated by SFRS that is paid into any trading company set up by Surrey County Council should be returned to SFRS for their use • That the Committee supports SFRS' work with other counties towards a system of sharing services and removing artificial borders, so that the nearest available appliance is mobilised in an emergency situation. | <p>ONGOING</p> <p>Further to conversations with the Fire Service at the Member Reference Group, the Committee will send a letter at a time that would be the most appropriate and helpful, to be indicated by the Fire Service.</p> <p>Chief Fire Officer requested to give an update on the issues raised in second recommendation at the Committee when relevant.</p> | Update for tracker in September 2014 | <p>Denise Saliagopoulos Victoria White</p> <p>Russell Pearson</p> <p>Helyn Clack</p> |

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**COMMUNITIES SELECT COMMITTEE:
DRAFT FORWARD WORK PLAN 2014**

| Date | Proposed Item | Why is this item proposed? | Contact Officer / Member | Proposed Method of Handling |
|---|--|---|--|-----------------------------|
| 25 September 2014 – Ordinary meeting – County Hall | | | | |
| 25 September 2014 | Trading Standards – proposals for new service | Scrutiny of business case for a new joint trading standards service with Buckinghamshire County Council from 2015 | Steve Ruddy Yvonne Rees Julia McDonald Helyn Clack | Report to Committee |
| 25 September 2014 | Surrey Arts Internal Audit | Scrutiny of Management Action Plan for Audit Report of Surrey Arts 2013/14 | Peter Milton Sue Lewry-Jones David Jones Philip Trumble Helyn Clack | Report to Committee |
| 20 October 2014 – Extraordinary meeting – County Hall | | | | |
| 20 October 2014 | Community Safety Partnerships | Annual scrutiny of Surrey's Community Safety Partnerships | Jane Last Yvonne Rees Gordon Falconer Louise Gibbins Helyn Clack + external witnesses | Report to Committee |
| 19 November 2014 – possible informal workshop on finance (TBA) | | | | |
| | TBA | TBA | TBA | TBA |
| 14 January 2015 – Ordinary meeting – County Hall | | | | |
| 14 January 2015 | Cabinet Member and Associate Priorities – update | Scrutiny of Cabinet Member and Associate Cabinet Member priorities, set in May 2014. | Helyn Clack Kay Hammond | Report to Committee |
| 14 January 2015 | Magna Carta Update | Scrutiny of Magna Carta Anniversary proposals | Peter Milton Helyn Clack | Report to Committee |

| Date | Proposed Item | Why is this item proposed? | Contact Officer / Member | Proposed Method of Handling |
|--------------------------|--|--|---|-----------------------------|
| 19 March 2015 | | | | |
| | TBA | | | |
| 18 May 2015 | | | | |
| | TBA | | | |
| 22 July 2015 | | | | |
| 22 July 2015 | VCFS performance framework | Scrutiny of the full year outcomes-based performance report on voluntary, community and faith sector infrastructure in Surrey. | Rachel Crossley Saba Hussain Helyn Clack | Report to Committee |
| | Vision for Community Learning and Skills | Scrutiny of progress since report in July 2014. | Mark Irons Paul Brocklehurst Peter Milton Paul Hoffman Susie Kemp Helyn Clack Denise Le Gal | Report to Committee |
| 24 September 2015 | | | | |
| 24 September 2015 | Fire Service Public Safety Plan (draft) | Scrutiny of the draft refreshed Public Safety Plan | Russell Pearson Yvonne Rees Helyn Clack Kay Hammond Sally Wilson Leslie Dodd Debbie Weston | Report to Committee |
| October 2015 | | | | |
| Xx October 2015 | Community Safety Partnerships | Annual scrutiny of Surrey's Community Safety Partnerships | Jane Last Yvonne Rees Gordon Falconer Louise Gibbins Helyn Clack + external witnesses | Report to Committee |

| Date | Proposed Item | Why is this item proposed? | Contact Officer / Member | Proposed Method of Handling |
|-------------------------|---------------|----------------------------|--------------------------|-----------------------------|
| 19 November 2015 | | | | |
| | TBA | | | |

| To be scheduled for 2014/15 | | | | |
|------------------------------------|---------------------------------|---|--|---|
| TBC | Fire Service contract with SGI | Scrutiny of contract with Specialist Group International (SGI) | Russell Pearson Yvonne Rees Sally Wilson | Report to Committee/ Verbal update |
| TBC | Governance of Cultural Services | Scrutiny of options for governance of cultural services | Peter Milton Susie Kemp Helyn Clack | Report to Committee |
| TBC | Draft Tourism Strategy | Scrutiny of developed draft tourism strategy (before it is presented to Cabinet for approval) | Barrie Highham Peter Milton Susie Kemp Helyn Clack | Report to Committee |
| TBC | Adult Learning | Scrutiny of adult learning provision in the East of the County | Paul Hoffman Peter Milton Susie Kemp Helyn Clack | Report to Committee/ Possible hold at East Surrey College? |
| March 2016 | Fire Service Public Safety Plan | Scrutiny of the refreshed final Public Safety Plan | Russell Pearson Dave Sargeant Helyn Clack Kay Hammond Sally Wilson Leslie Dodd Debbie Weston | Report to Committee |

| Recommendations Tracker updates to be requested | | | | |
|---|--|--|--|-----------------------|
| <p>From meeting in July 2014.</p> <p>To be included in tracker in January 2015.</p> | <p>Regulation Of Investigatory Powers Act 2000 (Ripa) Review 2013-14</p> | <p>Progress update on the following recommendations:</p> <p>The Committee requests that Trading Standards works on ways to encourage councillors to assist the Service in acquiring information and to pass on their contact details to councillors.</p> <p>Trading Standards continue to build and explore yet further ways and opportunities to work with districts and boroughs and other partners.</p> | <p>Yvonne Rees Steve Ruddy Ian Treacher Lee Ormandy</p> <p>Helyn Clack</p> | <p>Tracker update</p> |
| <p>From meeting in July 2014.</p> <p>To be included in tracker in March 2015</p> | <p>Progress Report On Community Safety Partnerships (Following Recommendations Made At The Annual Scrutiny Meeting On 31 October 2013)</p> | <p>The Committee will receive a further update on collaborative working between Community Safety Partnerships – including lessons learned from the East Division CSPs. The East Division CSPs are planning to have a first meeting in July 2014. Tracker update in six months (March 2015).</p> | <p>Jane Last Louise Gibbins</p> | <p>Tracker update</p> |

Communities Select Committee

25 September 2014

Creation of a Joint Trading Standards Service with Buckinghamshire County Council

Purpose of the report: To consult the Select Committee on recommendations to create a new Joint Trading Standards Service with Buckinghamshire County Council. The recommendation is due to be considered by Cabinet on 21st October.

Introduction

1. The Trading Standards Service has been working on innovative proposals to create a joint Trading Standards Service with Buckinghamshire County Council.
2. The initiative has been overseen by a Project Board which has included the Strategic Director, Yvonne Rees and Portfolio Holder Helyn Clack. The Select Committee was advised of the initiative at its Priorities and Budget Setting Review Meeting of 20th February and expressed support in principle.
3. The Select Committee is now asked to consider the draft business case and supporting documents before further consideration and decision by Cabinet in October. The same process is underway in Buckinghamshire.

Background

4. The implementation of the Public Value Review of Trading Standards in 2012 delivered several service improvements. It also delivered savings of 20% (including a 50% reduction in management costs). That review recognised that further efficiencies would need to come from sharing services, and from increasing income. This project is a natural continuation from the outcome of the Public Value review.
5. As a result the service has been exploring partnership opportunities and this has led to the current work with Buckinghamshire. The proposals envisage a merger of the two existing Trading Standards Services. Both services would retain the same local presence in each county. There are no plans to relocate staff. The service would continue to operate from Redhill in Surrey and from Aylesbury in Buckinghamshire. Staff in both local authorities have been engaged and closely involved as the proposals have developed.

6. A business case has been drafted which summarises the benefits of a new joint service for residents and for businesses. It also provides further detail on the financial benefits and income generation projections. This approach enables the savings required by the Medium Term Financial Plan to be made without damaging front line services.
7. The proposal will create a service better able to meet its statutory responsibilities, to achieve more to support corporate priorities in both Councils, and better positioned to deal with the new regulatory and consumer protection landscape. Building on the strengths of the current services, it will provide enhanced resilience and capacity to tackle unforeseen challenges and peaks in demand such as large scale investigations, complex frauds or animal disease outbreaks. It will continue to focus on protecting the most vulnerable and supporting businesses. It will be more influential regionally and nationally and have an enhanced capacity to generate income and future growth through the delivery of services for businesses and for other local authorities.
8. The Project Board has considered and applied lessons learned from other shared service initiatives for example in West Berkshire and Wokingham and in Devon and Somerset. Should the proposal be approved by the Cabinet in Surrey and in Buckinghamshire a communications strategy will ensure that key partners and customers will be re-assured that the service provided will not be adversely affected. In several respects it will be able to be enhanced as a result of the creation of the joint service. The service will retain a local presence and continue to work through local partnerships and relationships.
9. The Select Committee are asked to consider the proposal together with the business case and supporting appendices. The views of the Select Committee can then be taken into account when Cabinet considers the recommendations in October.

Governance of Joint Service

10. The Project Board and Project recommends Governance arrangements via a Joint Committee which would have responsibility for the service delegated to it from Surrey and Buckinghamshire. This will be underpinned by an “Inter Authority Agreement” (IAA) setting out the legal arrangements for the partnership. This will include issues such as the duration of the agreement (currently the Board is recommending a minimum of a 5 year term with scope to extend by a further 10 years). This is very much seen as a long term partnership. The IAA will also include agreement on financial arrangements. The IAA will also include termination and exit arrangements, data sharing, data protection, business continuity, health and safety, etc.
11. The joint service would have a single business plan and priorities, which will be aligned to the partner Authority priorities. Where there are specific local needs and issues they will continue to be met. Locally the service will retain local branding i.e. they will still be seen and be visible as “Surrey Trading Standards” and “Buckinghamshire Trading Standards”.
12. The joint service will be subject to the Scrutiny of the relevant Select Committee in both Surrey and in Buckinghamshire.

Recommendations

13. The Select Committee is invited to support proposal to create a new Joint Trading Standards Service with Buckinghamshire County Council.
14. The Select Committee is invited to highlight any particular issues where it would like to see further clarification

Next steps

- | | |
|--|-------------------------------|
| 15. Cabinet decision in Buckinghamshire | 20 th October 2014 |
| . Cabinet decision in Surrey | 21 st October 2014 |
| Implementation of a new joint Trading Standards service, if both Cabinets endorse the proposal – | 1 st April 2015 |

Financial and value for money implications

The financial and value implications are set out in the attached business case.

Equalities implications

An Equalities Impact Assessment has undertaken – see supporting documents

Risk management implications

Appendix F summarises the key risks and mitigating actions

Implications for the Council's Priorities or Community Strategy/Local Area Agreement Targets

A joint service will maintain engagement and support for council priorities.

Report contact:

Steve Ruddy – Community Protection Manager

Contact details: 01372 371730

steve.ruddy@surreycc.gov.uk

Sources/background papers:

Business Case

This Business Case is supported by a number of documents listed below.

- APPENDIX A: Draft Service Priorities Page 9
- APPENDIX B: Comparison of possible Governance Models Page 11
- APPENDIX C: Options for Future Growth Page 13
- APPENDIX D: Case Studies Page 15
- APPENDIX E: Anticipated Benefits Analysis Page 19
- APPENDIX F: Risk Register Page 25

Additional Supporting Documents:

- Equalities Impact Assessment

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Full Business Case

Proposal to create a joint Trading Standards Service between Buckinghamshire County Council (BCC) and Surrey County Council (SCC)

Executive Summary

This business case summarises the benefits of creating a new Joint Trading Standards Service between Buckinghamshire and Surrey.

This will provide an enhanced service for residents and businesses in both counties, whilst also delivering the savings required in the Medium Term Financial Plans for each local authority. The cashable savings equate to approximately 11% of the joint service costs by year 3. The alternative for each service would be to make service delivery reductions which in turn would reduce protection for residents and support for local businesses.

The new combined service would be overseen by a new Joint Committee and with staff employed by the host authority, Surrey. The new service will be delivered from the existing locations within each county. There are no plans to centralise or re-locate staff. Local presence and local partnerships are vital for the success of the service. The service would continue to be locally accessible and able to identify and address local issues.

The proposal will create a service better able to meet its statutory responsibilities, to achieve more to support corporate priorities in both Councils, and better positioned to deal with the new regulatory and consumer protection landscape. Building on the strengths of the current services, it will provide enhanced resilience and capacity to tackle unforeseen challenges and peaks in demand such as large scale investigations, complex frauds or animal disease outbreaks. It will continue to focus on protecting the most vulnerable and supporting businesses. It will be more influential regionally and nationally and have an enhanced capacity to generate income and future growth through the delivery of services for businesses and for other local authorities.

The new service will, subject to Cabinet approval in both local authorities, be operational in April 2015.

1. Background and Reasons

1.1. Business Need

Trading Standards is a critical and complex Service, with a legislative duty to enforce some 80 Acts of parliament and hundreds of sets of subordinate Regulations across a wide range of issues from fair trading, fraud and scams, through consumer safety, health and wellbeing, to the health and welfare of animal livestock.

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The Trading Standards Service also supports the delivery of a wide range of Council priorities including Public Health, economic growth and the protection of vulnerable residents.

The national landscape for consumer protection is changing rapidly with more focus on cross border issues and new national bodies such as the National Trading Standards Board becoming more significant in national, regional and local delivery.

In the present economic climate there is a need to show increased efficiencies and value for money in both Buckinghamshire County Council (BCC) and Surrey County Council (SCC). Significant efficiency savings have been delivered over several years by the services in both Councils. The options for further efficiency savings without damaging impacts on service delivery have been exhausted. The ongoing need to make savings means that we need to look for new opportunities and to new models of delivery.

1.2. The Opportunity

Trading Standards has been identified as a function where there is potential for a joint service delivery model. There are already a small number of existing examples elsewhere that have been shown to work including in Devon & Somerset; West Berkshire & Wokingham and West Yorkshire Joint Services. The new joint service will be at the forefront of the development of shared services for front line regulatory functions. We will learn from others to avoid some of the potential pitfalls.

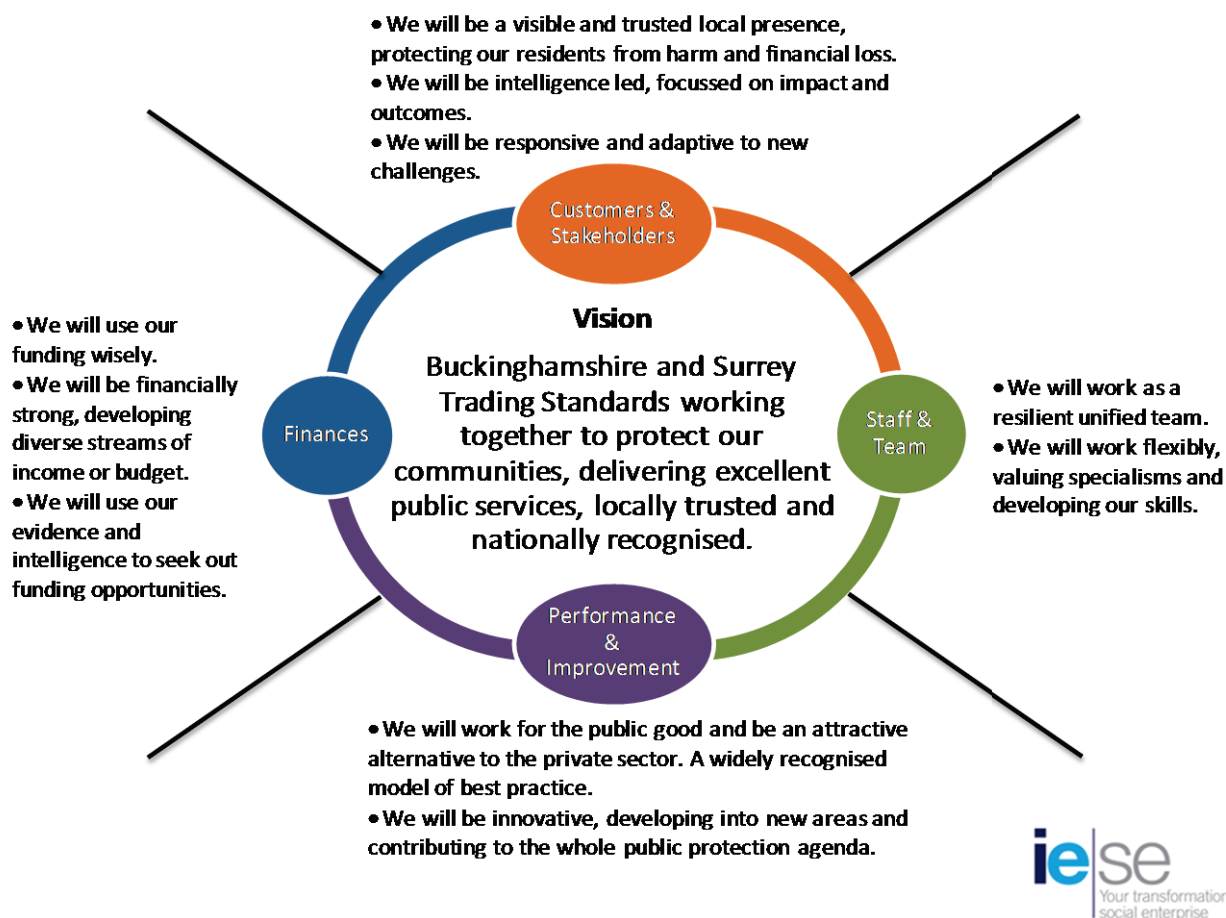
BCC and SCC have similar political, strategic and operational ethos so they are ideal candidates for a Trading Standards joint service. Both local authorities have been keen to work together at officer and member level to develop this opportunity. The new joint service would continue to provide a locally responsive and visible service for our residents and businesses with additional benefits outlined in section 3.

1.3. Development Work to Date

A joint Project Board has been established involving the Cabinet Member for Community Engagement for BCC, Cabinet Member for Customer and Communities SCC, and senior officers from both authorities. The Board has monitored the project performance and provided strategic guidance and direction.

The Board has decided that the key design principle of the new joint service is continued support of delivery of both Councils' priorities. Draft service priorities have been developed and support the current corporate and strategic priorities for example public health, economic growth and protecting the most vulnerable residents. (See **Appendix A**). As each local authority develops its priorities the new joint service will respond, ensuring local characteristics are preserved.

Critical to the success and sustainability of the new joint service will be the vision and values that have been developed in consultation with the Board. The vision and values are illustrated below:



2. Business Options

2.1. Delivery Model

The Project Board has considered a range of different options for the potential delivery of a joint service including:

- Joint Service overseen via Joint Committee
- Joint service – delivered by one lead authority with a joint service review panel.
- Charitable Status
- Private Sector Outsourcing
- Retain Current Model

Several of the alternatives are yet untried and unproven as delivery models for regulatory and enforcement services. In order to ensure that we can deliver something successful, within a reasonable timescale the Project Board has focused on the first two alternatives in more detail. Further information is provided in **Appendix B**.

In order to ensure a true partnership approach, rather than a contractual relationship, the Project Board recommends the Joint Committee model for oversight of the new service.

This will require the creation of a new Joint Committee comprising 4 elected members i.e. the Cabinet Member and one other Member from each Local Authority. The Joint Committee will be responsible for overseeing the service delivered to residents in both counties. This will be delivered by a single, joint service hosted by one authority, but not co-located in that authority.

The partnership will be underpinned by an Inter-Authority Agreement setting out the legal arrangements for the partnership.

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This approach minimises risks, and avoids a range of legal uncertainties which would arise from delivering an enforcement function outside of the local authority structure.

In summary, this approach would ensure that both governance and accountability are clearly retained by the partner local authorities.

The recommended governance model has the potential for future growth. A strategy for future growth is being developed by the Project Board and principles are summarised in **Appendix C**.

2.1. Staffing Options Considered

Consideration has been given to the most appropriate staffing model and in particular whether staff should be transferred to a single employer.

The benefits of having one host employer and hence one set of systems and processes to operate under are:

- The new service will benefit from the support services within one local authority and hence deal with one set of corporate systems and processes
- Being employed by a single local authority will reduce procurement costs for a range of support and technical costs for example IT database, Legal and technical services.
- The efficiencies and time savings that result for managers will enable the joint service to make savings in management costs which would otherwise not be achievable.

The long term nature of this proposal means that secondment of staff into the host authority is not a suitable option. Therefore it is proposed that the 23 (currently) affected Buckinghamshire County Council staff would transfer to the employment of Surrey County Council at the start of the Joint Service under the protection of TUPE¹.

3. Benefits “Better Together”

Benefits for Residents and Businesses:

The potential benefits have been grouped into three categories

- Service Efficiencies & Enhancements
- Financial Savings;
- Income Generation Opportunities

The key elements that demonstrate the value of a joint service are shown as A to F below. Appendix E provides more detail of how these benefits will be delivered in practice.

¹ Transfer of Undertakings (Protection of Employment) Regulations 2006

- A. Sharing expertise and best practice and creating greater resilience and robustness to cope with unforeseen challenges, such as animal disease outbreaks, large scale investigations, complex frauds, or illness or loss of key officers and their specialist technical knowledge.
- B. Sharing resources, including IT and databases, intelligence and specialist financial, legal and other roles that can cover the wider service area more economically.
- C. Eliminating duplication by needing to do things once rather than twice in two different places e.g. Enforcement Policies, Enforcement Concordat, RIPA, Funding Bids etc.
- D. Building on the successes and innovation within the current services to maximise the potential benefits e.g. income generation from business services, systems thinking, developing volunteering, maximizing prevention through social media and other means helping to further enhance the local reach and impact of the service.
- E. Reducing costs by operating jointly.
- F. Creating a significantly larger profile collectively for BCC and SCC TS on the regional and national scene, having greater influence on professional direction and policy making processes, improving opportunities to benefit from funding and developmental initiatives and increasing the potential opportunities for income generation, particularly through extending Primary Authority prospects.

Examples of Trading Standards work that will benefit from Service Efficiencies & Enhancements

Both authorities prioritise support and protection activities to vulnerable people and this will remain a primary focus for the joint service. There is well established evidence² that enhanced support to vulnerable people helps improve their quality of life and reduces the likelihood of their becoming more dependent upon secondary and tertiary support services (which can be at a significant cost to the local Council). A key element in this is the sense of security delivered by improved community safety, of which Trading Standards activity contributes. The sharing of expertise and improved service availability and effectiveness will enhance the impact in both authorities.

Both authorities ensure that the goods, services and food bought by residents is safe, meets minimum legal standards and descriptions and claims made are not deceptive or misleading. In doing this, Trading Standards protects everyone, makes communities safer, improves health and supports the local economy by protecting legitimate businesses and local residents from unfair trading practices. In carrying out its role, and planning activities Trading Standards is intelligence-led, relying on robust information to target activity where it will achieve the greatest results. By combining our specialist skills and knowledge the impact will be greater.

Appendix D contains case studies which also help illustrate the breadth, depth and impact of Trading Standards work, demonstrating how it:

- protects vulnerable consumers from scams
- supports local businesses and the local economy
- protects children from death or serious injury
- tackles food fraud

In these areas, and in others, the resources of a joint service can enhance the overall impact.

² “Support. Stay. Save.” Alzheimer’s Society 2011

Summary of Anticipated Financial and Income Benefits

| | Year 1 (2015/16) | Year 2 (2016/17) | Year 3 (2017/18) | Cumulative total over 3 years |
|--------------------------|---------------------|------------------|---------------------|-------------------------------------|
| Financial Savings | £84,000 | £176,000 | £201,000 | £461,000 |
| Income Generation | £35,000 | £85,000 | £140,000 | £260,000 |
| Total: | £119,000 | £261,000 | £341,000 | £721,000 |

It should be noted that these are the combined benefits of the Joint Service (i.e. they are not amounts to be saved just by one of the partner Authorities).

Additional Potential Benefit

Creating the joint service model could be used to deliver services for other local authorities, or one in with which other services may seek to join. There would then be further opportunities for benefits to residents and businesses (under the three categories above).

4. Costs

4.1. Joint Service Delivery Investment Requirements (i.e. one off costs)

In the development and implementation phase (occurring during the 2014/15 financial year) the main costs are for: External Project Management resource (through IESE); Legal advice and development of the legal agreements to underpin the Joint Service; TUPE agreement; preparation of personnel files prior to TUPE transfer and officer time. These costs are being shared by both Local Authorities from within existing Service budgets.

It is anticipated that 'one off' set up costs will not exceed £50k.

4.2 Budget Contributions (approximate)³

| | Bucks | Surrey | Joint total |
|--|-------------|-------------|-------------|
| Budget contribution anticipated into Joint Service in 2015/16 | £ 1,043,000 | £ 2,056,000 | £ 3,099,000 |
| | 34% | 66% | |
| Budget contribution anticipated into Joint Service in 2016/17 | £ 1,014,000 | £ 1,897,000 | £ 2,911,000 |
| | 35% | 65% | |
| Budget contribution anticipated into Joint Service in 2017/18 | £ 1,014,000 | £ 1,937,000 | £ 2,951,000 |
| | 34% | 66% | |

³ This table is subject to change, as discussions with the relevant finance teams are ongoing.

4.3 Income and Costs Sharing Principles

The Joint Project Board proposes that if the joint service proceeds any future income (and any costs yet to be identified) would be divided in the proportions agreed in the underpinning Inter-Authority Agreement. Particularly in regard to income from business services provided, this will help to drive the joint service approach to working and generating income to the benefit of the new service regardless of where a business might be based (either within BCC, SCC or any other authority area).

5. Timescale

| | |
|--|-----------------|
| 1. BCC and SCC Cabinet approval | October 2014 |
| 2. Consultation with BCC staff re TUPE | January – March |
| 3. Legal agreements in place | February 2015 |
| 4. Joint service fully in operation | April 2015 |

6. Dependencies

There are no critical dependencies between this work and other projects. However several other streams of work will need to be taken into account. For example the Medium Term Financial Planning processes, the developing BCC's Future Shape Programme and SCC's "Innovation into Action - Fit for the Future" Programme.

7. Investment Appraisal

If options arise where investment could lead to a longer term saving, in excess of the investment, these will be considered and responded to as circumstances allow.

8. Known Risks

As part of the project management approach analysis has been undertaken to identify and assess risks. A robust Risk Management framework (see the Risk Register contained in **Appendix F**) has been put in place to create risk responses and action plans and to ensure that any risks identified are actively monitored and responded to.

The most significant risks that have been identified and escalated to the Project Board include:

- One of the Partners withdraws from the Project, resulting in the Joint Service not being implemented and existing TS ties (e.g. the management teams) being severed
- A failure to effectively engage with TS staff, results in resistance to change and potential Trade Union intervention
- Incompatibilities of IT systems (or other technical aspects of the two services) results in project slippage, inefficient work-arounds or additional systems (or technical support) investment being required

9. Supporting Documents

This Business Case is supported by a number of documents listed below.

- APPENDIX A: Draft Service Priorities Page 9
- APPENDIX B: Comparison of possible Governance Models Page 11
- APPENDIX C: Options for Future Growth Page 13
- APPENDIX D: Case Studies Page 15
- APPENDIX E: Anticipated Benefits Analysis Page 19
- APPENDIX F: Risk Register Page 25

Additional Supporting Documents:

- Equalities Impact Assessment

Appendix A: Draft Service Priorities

Protection

- Contribute to tackling relevant local crime and disorder priorities
- Tackling the issues causing greatest harm (to the most vulnerable residents / livestock)
- Be the consumer champion for the local area, especially for the most vulnerable in the community.

Supporting prosperity / economic growth

- Supporting good local businesses to thrive
- Encouraging compliance of local businesses and responding appropriately to non-compliance to maintain a fair trading environment and ensure crime doesn't pay
- Supporting the rural economy

Supporting Public Health

- Protecting people from harmful products (including food) and services.
- Enabling healthier choices
- Enhancing the health and wellbeing of local residents
- Supporting relevant priorities identified by the local Joint Strategic Needs Assessments (JSNA's)

Innovation

- Developing approaches to enhance services, increase impact and reduce cost to improve service effectiveness

Customer Focus

- Identifying the issues affecting local people including those who are hard to reach and focusing resources on those causing most harm, especially to the most vulnerable
- Communicating well with local people

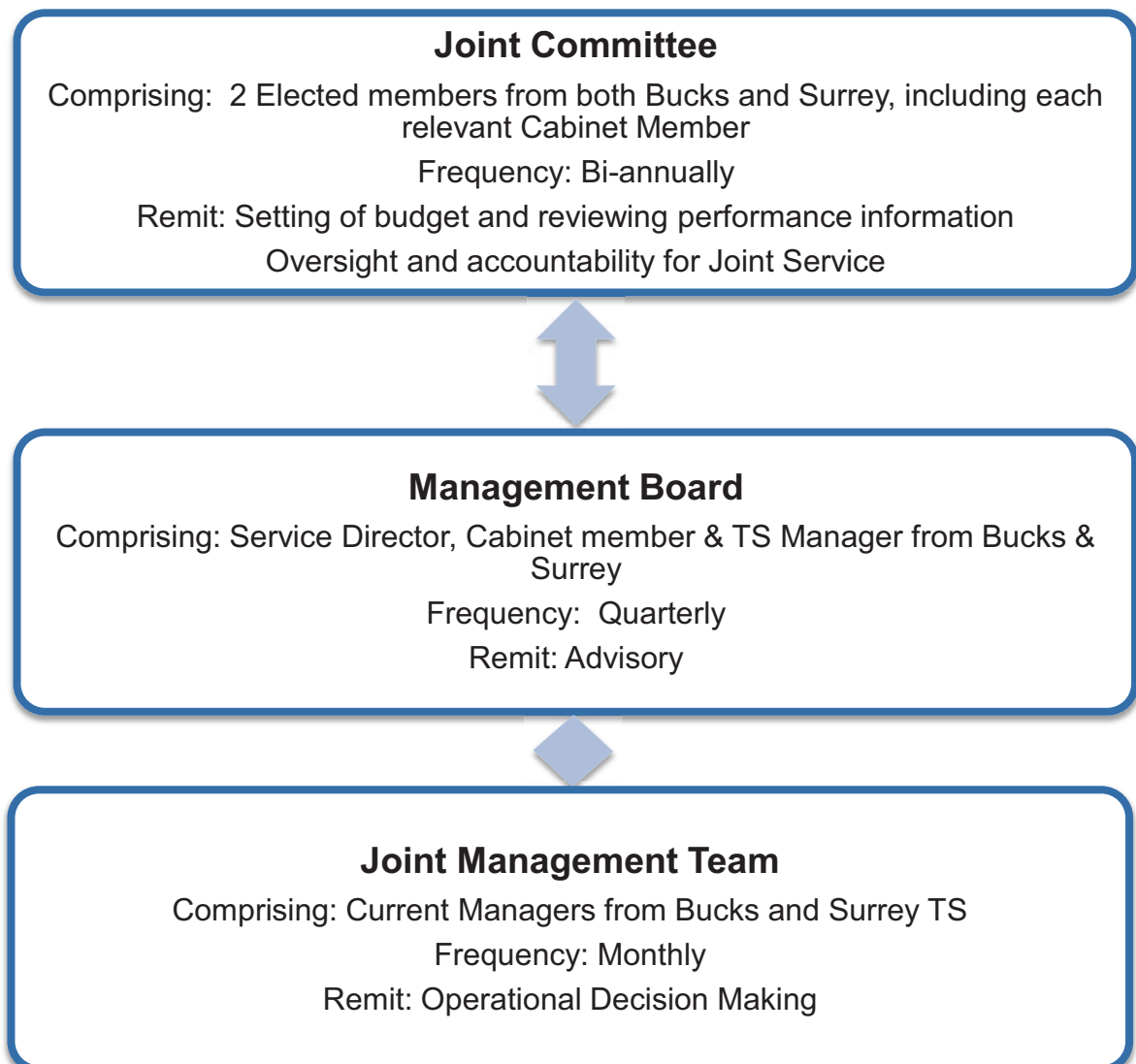
Appendix B – Comparison of Governance Models

In order to ensure a true partnership approach, rather than a contractual relationship, the Project Board recommends the Joint Committee model for oversight of the new service.

A new Joint Committee comprising 4 elected members i.e. the Cabinet Member and one other Member from each Local Authority will be established. The Joint Committee will be responsible for overseeing the service delivered to residents in both counties.

This approach would ensure that both governance and accountability are clearly retained by the partner local authorities. Business Plans and Annual Reports will be available to the relevant Select Committees and Cabinets in both authorities. The existing Select Committees in Surrey and in Buckinghamshire would both continue to exercise a Scrutiny role for the new Joint Service.

The proposed reporting structures are summarised below:



Appendix B – Comparison of Governance Models

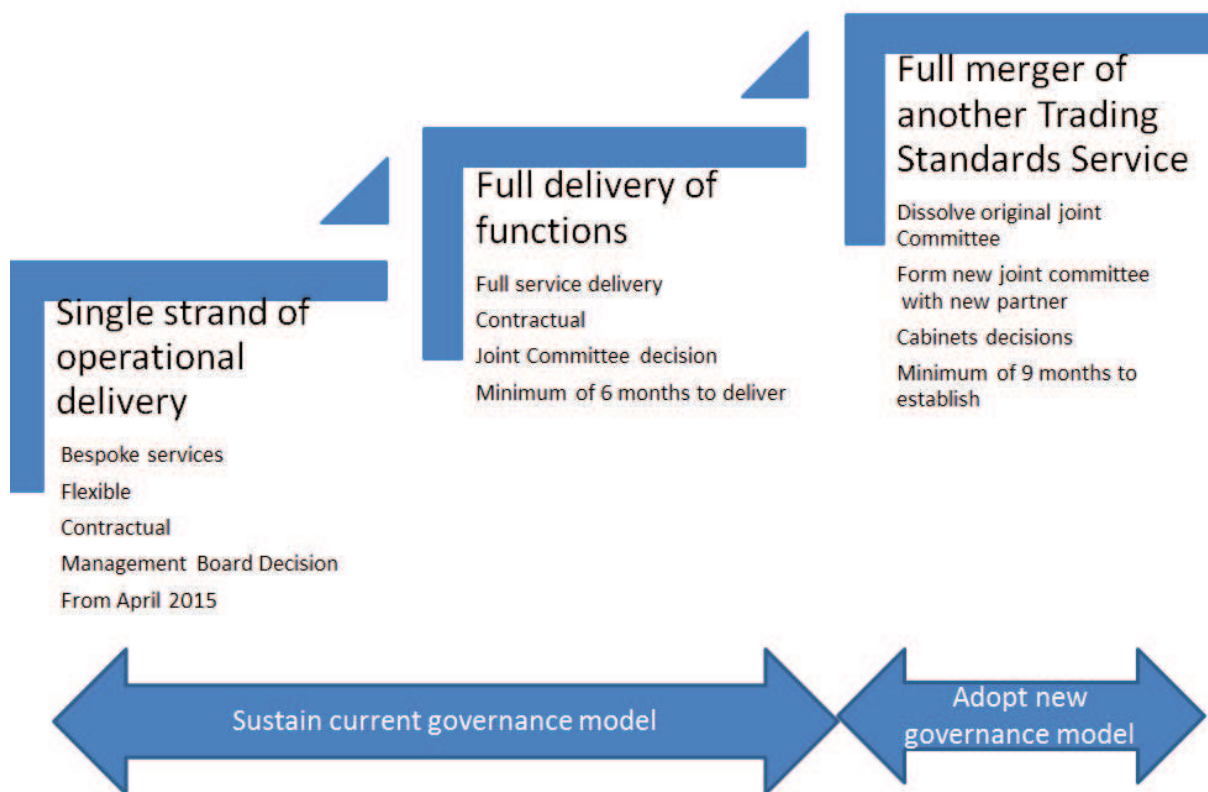
7

| Joint Committee (JC) | Lead Authority with Joint Service Review Panel |
|---|--|
| <p>Explanation: A formal arrangement created through a Section 102 Local Government Act 1972 agreement. The Joint Committee allows two or more LA's to discharge any of their functions jointly. Both Surrey CC and Bucks CC use a Section 101 agreement to delegate functions to the Joint Committee. Underpinned by a legally binding Inter-Authority Agreement</p> | <p>Explanation: One authority delegates its Service responsibilities to the other (lead) authority through a Section 101 agreement with delegation of enforcement functions Underpinned by a legally binding Inter-Authority Agreement</p> |
| <p>Key Points: The JC comprises 2 Members from Surrey CC and 2 Members from Bucks CC. These do not need to be politically balanced. There is a rotating Chair who has the casting vote. Others may attend but only Members may vote. The JC meet twice a year. Meetings are formal. Decisions of the JC are binding on both LA's.</p> <p>The JC is not a legal entity in its own right and therefore one authority becomes the host for 'bed & board' matters but their liability is limited by a contractual Inter Authority Agreement</p> <p>Sitting below the JC is a Board which meets quarterly to oversee running of the Service (views performance information, reviews budget position etc). The Board comprises Officers and Members of both LA's (it's make up can be stipulated by us). Meetings need not be formal.</p> <p>Decisions on prosecutions remain made where they currently lie – i.e. in individual authorities. Whilst there is reasonable consistency now, it doesn't prevent inconsistency of application in the future. Dissolvable, but the underpinning Inter-Authority Agreement stipulates notice periods prior to dissolution.</p> | <p>Key Points: Formal Decisions are made by the Lead Authority (Surrey CC) in its current decision making structure – i.e. Cabinet Member. Whilst the delegating authority loses some control, reputational risks remain to it.</p> <p>The Lead Authority is also the host. There is slightly more liability accepted by the Lead Authority.</p> <p>There is a Joint Service Review Panel, comprising Members and Officers from both LA's sitting below the formal decision making structure (it's make up can be stipulated by us). Recommendations are made by the Review Panel to the Lead Authority. These recommendations are not binding.</p> <p>Greater long term consistency in application of policies as the decisions are only being made in one place.</p> <p>Dissolvable, but the underpinning Inter-Authority Agreement stipulates notice periods prior to dissolution.</p> |

Appendix C: Options for Future Growth

A new joint Trading Standards service would provide a strong foundation for future growth. This would help further enhance the ability of the service to deal with local, regional and national concerns and to enhance efficiency through reducing unit costs further. Growth can come from delivering more services for businesses or from delivering services for other local authorities or regulatory partners. In relation to the delivery of services for other local authorities growth would mean expanding outside of our current geographic boundaries. The model that is recommended for the delivery of the new shared service enables such future growth in several ways.

Options For Future Growth



Single strand of Operational Delivery

The Joint Service can offer bespoke services, delivering specific functions or activities on behalf of other local authority services or other organisations on a contractual basis. For example the delivery of an Animal Health function, or a business advice service for a local authority, or to deliver a major investigation or initiative for a national body such as the Food Standards Agency or the National Trading Standards Board. These services would be flexible in terms of volume and time to take into account the specifications of the 'client'; the impact on core service delivery; and the capability of the Joint Service to deliver.

The decision to provide these functions would be made by the Management Board. The provision of functions in this way could be delivered from April 2015.

Full delivery of functions

The Joint Service can be contracted by another local authority to deliver a complete regulatory service, for example the delivery of a complete Trading Standards (and / or Environmental Health) service.

The decision to provide complete services would be made by the Joint Committee.

The provision of complete services could be considered from April 2015. It is anticipated it would take a minimum of 6 months to put the necessary contractual legalities in place.

Full merger of another Trading Standards Service

The Joint Service can create a new partnership with another local authority to deliver a new larger joint service. This would be overseen by a newly constituted Joint Committee including membership from the new partner authority.

The decision to enter into a new partnership arrangement such as this would need to be made all Cabinets entering into the partnership.

It is anticipated it would take a minimum of 9 months to establish the necessary governance arrangements for any new Joint Service.

Appendix D: Case Studies

Case Study 1 – Protecting Vulnerable Consumers From Scams

In 2013, Surrey Trading Standards Service became one of the first to sign up to the work of the 'National Scams Hub' funded by the National Trading Standards Board.

It all started when the City of London Police intercepted a list of names and addresses of potentially vulnerable consumers who might be susceptible to invitations from scam companies to send money for 'free' gifts or to claim large cash prizes. About 1,000 of these lived in Surrey and Trading Standards Officers identified the most vulnerable through data already held and a new questionnaire.

A list of around 80 high priority Surrey residents was drawn up and officers visited each home personally. In most cases, these residents were sending off cash regularly to scam companies but receiving nothing in return. To help them resist these approaches Surrey Trading Standards used material from the national scam charity 'Think Jessica' combined with in-house publicity.

Our media breakthrough came in the form of an elderly Farnham resident, Sylvia Kneller, who, we discovered, had sent more than £200,000 over 50 years to scam companies. Sylvia agreed to let us highlight her case in the media to educate others in a similar position. The resulting full front page story in 'The Sun' generated a huge media response, which provided an opening to reach other potential victims with our key messages. As a result, Sylvia has been recognised with a Trading Standards Institute 'Hero Award', presented at the national TSI conference in Harrogate.

Surrey Trading Standards have also now produced an innovative 'Scam Sticker Pack' to help other vulnerable consumers and are sharing information with Buckinghamshire and other services where new victims are identified.

How will a joint service help protect vulnerable residents from Scams such as this?

We will share best practice from each existing authority, building on what works well.

We will have an enhanced intelligence capacity to help identify and respond to issues and protect and alert potential victims.

We will have an enhanced enforcement capacity, together with the specialist skills required to support vulnerable victims and to bring perpetrators to justice and to tackle serious frauds.

We will be better placed to seek additional funding from national bodies such as the National Trading Standards Board to tackle examples of serious cross border scams and frauds.

Case Study 2 – Supporting Local Businesses and The Local Economy

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In January 2013, Surrey Trading Standards had 5 Primary Authority partnerships, which are recognised partnerships with businesses to enable them to receive assured advice. Through a concerted campaign, by June 2014 we had established 33 partnerships, along with a co-ordinated partnership with the Association of convenience Stores.

We attribute our rapid growth to:

- Focusing on the needs of the businesses and demonstrating the benefits to them of a Primary Authority partnership.
- Creating flexibility in the offer – businesses can mix and match from range of options to obtain the services that most match their needs.

We initially offered a choice between Pay as You Go and Bespoke partnerships - all including trading standards, environmental health and fire safety elements via a multi-agency approach.

From listening to business feedback we added a Fixed Price package, including a set amount of advice for businesses that need to be able to quantify their commitment. And we'll be dividing Pay As You Go action plans into smaller projects with individual quotes.

One of the benefits of our Primary Authority partnerships is a Single Point of Contact option for regulatory services, and 11 of the 33 have chosen this option. Working with our Districts and Boroughs, not only is a single contact point easier and more appealing for businesses, but it enables us to manage overlaps of regulatory responsibilities and support for our fellow regulators. This saves time for all of us, and helps with promoting the scheme.

Closer working with other regulators has expanded to include a pilot with Surrey Fire and Rescue and we are currently rolling this out with 6 businesses seeking action plans for fire advice.

We also have a contract with our Public Analyst enabling us to submit samples on behalf of businesses and offer fixed prices for label checks for food and cosmetics.

How will a joint service help enhance services for businesses in Surrey and Buckinghamshire

We will share these examples of best practice, using the skills and experience gained to date to offer enhanced services, on a cost recovery basis, to businesses.

Case Study 3 - Protecting Children From Death or Serious Injury

In July 2012 Buckinghamshire Trading Standards became involved in the tragic investigation of a stone fire surround which had fallen and fatally crushed a 6 year old child. An experienced team were quickly assembled to work alongside the Police and HMRC to investigate what had occurred and to try to stop a similar event occurring in the future. The installer of the fire surround has pleaded guilty to failing to ensure the victim was not exposed to risks to her health and safety as he worked in her parent's home and has been sentenced to 8 months imprisonment.

The unique expertise and skills within Buckinghamshire Trading Standards enabled the team to focus on getting to the root cause of the event, which led to an investigation into understanding how safety measures could be improved. National Trading Standards Board funding enabled the commissioning of research with the Imperial College London to understand and recommend a safest installation method. As a result of this research and subsequent laboratory tests the National House Building Council (NHBC) have created new installation standards and the Stone Federation of Great Britain has updated their national guidance for installation of stone fireplaces.

Buckinghamshire Trading Standards drove a publicity campaign to raise awareness of potentially unsafe installations of stone fire surrounds to consumers throughout the County and further afield. Information on the safest installation method, reinforcement of the surrounds with mechanical fittings, was provided to consumers to ensure they were best informed.

How will a joint service help protect children and reduce child deaths?

We will have an enhanced intelligence capacity to help identify and respond to product safety issues.

The joint service will be in stronger position to secure additional funding from Government to identify and tackle child safety related issues.

The joint service will have a wider shared and enhanced expertise, together with an enhanced investigative capacity to deal with product safety issues.

Case Study 4 - Tackling Food Fraud

In April 2013, in the wake of the horsemeat scandal Buckinghamshire County Council provided Trading Standards with an additional £50,000 funding to ensure food sold in Buckinghamshire, to consumers, was genuine.

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By analysing intelligence and information over 250 samples were taken from areas where issues were most likely to emerge. These samples included the authenticity of fish species, olive oil, durum wheat, kebab meat and basmati rice and the presence of aflatoxin contamination (fungal poisons). Levels of colours and preservatives in soft drinks and excess levels of water in fruit juice concentrate were also checked.

Issues were found with incorrect information about what type of meat was in kebabs, excessive levels of benzoic acid in soft drinks and unsatisfactory levels of aflatoxins, along with some minor incorrect labelling. Trading Standards Officers are working with businesses in Buckinghamshire to ensure they comply with labelling requirements so that food is properly described.

This work enables us to help maintain the integrity of the marketplace by supporting legitimate businesses, protecting consumers and gathering information and intelligence about potential areas of food fraud. We have presented our findings through numerous TV and radio appearances and local and national newspaper articles. The Government have also sent officials from the Elliott review to speak with us to gather evidence for recommendations about how we can protect the integrity of food nationwide.

How will a joint service help ensure the integrity of the food chain and hence protect residents?

The joint service will be in stronger position to secure additional funding from the Food Standards Agency and others for projects tackling food fraud and ensuring the integrity of feed and animal feedingstuffs

The joint service will have an enhanced investigative capacity to tackle food fraud and related issues.

A larger service with shared expertise will help to further develop and enhance healthy eating initiatives such as Eat Out Eat Well, helping to tackle childhood obesity and other diet related health problems.

Appendix E -Anticipated Benefits Analysis

3.1. Financial Savings

| Link to High Level Benefits | Theme | Potential areas for financial savings | 2015-2016 | 2016-2017 | 2017-2018 |
|-----------------------------|-----------------------------------|--|-------------|--------------|--------------|
| B, E | IT | Server, Hosting, Support, Sharing Systems | £7k | £19k | £19k |
| C, E | Procurement | Joint Purchasing and Strategic Procurement/Commissioning, Subscriptions | £10k | £10k | £10k |
| A, C | TS Schemes | Eat Out, Eat Well (EOEW), Support with Confidence (SWC) | £0 | £5k | £10k |
| A, C, E | Management Costs | Saving as a result of 'do it once' activities | £0 | £75k | £75k |
| A, B | In-housing | Bringing back into the Joint Service the delivery of contracts currently outsourced | £0 | £0 | £20k |
| A, B, E | Consultant Costs | Reduction in spend on specialist consultants as knowledge and vacancy pressures can be shared by working flexibly across the service | £54k | £54k | £54k |
| E, | Testing / Sampling Pooled Budgets | Reduction in spend on testing / sampling by having more robust and shared intelligence processes | £10k | £10k | £10k |
| E | Equipment | Sharing specialist equipment e.g. householder cameras, PACE recording equipment | £3k | £3k | £3k |
| | | Total: | £84k | £176k | £201k |

3.2. Income Generation Opportunities

| Link to High Level Benefits | Theme | Potential areas for financial savings | 2015-2016 | 2016-2017 | 2017-2018 |
|-----------------------------|--------------------------------|---|-------------|-------------|--------------|
| A, C, E, F | Primary Authority Partnerships | Better resourced, better promoted, wider range, potential to grow significantly. The new joint service could be a market leader here in a variety of business sectors, e.g. the food and petroleum sectors. | £10k | £30k | £50k |
| A, B, D, E | Chargeable Business Advice | This will generate income and/or free up resources to focus on real need/SMEs, subject to policy alignment on this. | £5k | £10k | £20k |
| F | Funding Bids | There will be capacity to develop more than single TS services and a joint service would be more attractive for potential funders, e.g. NTSB, Public Health, TSSEL, FSA etc. | £15k | £30k | £45k |
| F | Selling Services to other LAs | A joint service would provide an enhanced capacity to do so (inside/outside of TSSEL). An example could be selling Financial Investigator time. | £5k | £15k | £25k |
| | | Total: | £35k | £85k | £140k |

3.3. Service Efficiencies & Enhancements

These efficiencies will enable the cashable savings above to be realised i.e. by freeing up time we can re-deploy this time into income generating activities and other savings.

| Link to High Level Benefits | Theme | Potential areas for efficiencies or enhancements | 2015-2016 | 2016-2017 | 2017-2018 |
|-----------------------------|---------------------------------------|---|---|-----------|-----------|
| C | "Do it once", day-to-day activities | Performance Management, Budget Management & Reporting, Risk Management, Health & Safety Policies, Freedom of Information Act (FOI) request responses, Regulation of Investigatory Powers Act (RIPA) issues, Regulator's Code issues, Database issues, Education & Information materials. Development of Service indicators. | 0 days | 100 days | 100 days |
| C | Alignment of TS Policies and Planning | Service Plan, Food & Feed Plan, Tobacco reporting, RIPA records & reporting | 20 days | 20 days | 20 days |
| C, D | Social Media | Twitter, Facebook, TS@lerts via email | 25 days | 25 days | 25 days |
| C, D | Volunteers | Use of volunteers, both services developing this approach at present | 200 days | 400 days | 400 days |
| F | Media Profile | Enhancing media profile and hence preventative impact | 10 days | 10 days | 10 days |
| A, C, D, E | Staff | Enhanced training, building staff competence and developing progression opportunities. Getting more for the money currently spent on training. Scope for delivering our own training but also gaining income | Won't save days but gives an enhanced service which would increase the attraction to businesses considering buying our services and limit unnecessary staff turnover. | | |

| | | | | | |
|------------|---------------------|---|---|-----------------|-----------------|
| | | from selling additional training places. Having cover for 'normal' work when officers are training. | | | |
| A, B, E | Resilience | Improved resilience and flexibility to meet challenges and risks, e.g. animal disease outbreak, major investigations | Won't save days but leads to an enhanced service. | | |
| B, C, D, E | Knowledge Sharing | Shared intelligence and Accredited Financial Investigator (AFI) resources | 10 days | 20 days | 20 days |
| B, E | Resources | Shared specialist equipment | 10 days | 10 days | 10 days |
| A, D, F | National TS Profile | Attendance / representation at external meetings e.g. TSSEL, one lead/link for each area rather than two attending each meeting | 15 days | 30 days | 30 days |
| A, B | Leadership | Shared management experience, competence and mutual support | 0 days | 30 days | 30 days |
| | | Total: | 290 days | 645 Days | 645 Days |

3.4 National Assessment of the Impact of Trading Standards

In 2009 the Office of Fair Trading produced evidence which suggests that Trading Standards Interventions nationally are assessed as delivering direct savings of £347m to the UK economy. This equates to approximately a £6 return for every £1 spent on delivery of a Trading Standards service, details in the table below. This estimate is conservative because the evaluation does not include the impact of work undertaken by Trading Standards to inform and educate consumers generally about their rights, for example through leaflets, information packs and via websites.

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| Estimated consumer savings and associated costs of TSS fair trading work across the UK | | | |
|---|-----------------------------------|---------------------------|----------------------|
| | Estimated Annual consumer savings | Estimated Annual TS costs | Benefit – Cost ratio |
| Tackling Unfair Trading Practices | £228m | £41m | 6:1 |
| Advising and Assisting Consumers | £119m | £17m | 7:1 |
| Total | £347m | £58m | 6:1 |

In January 2014 the Department for Business Innovation and Skills produced an Impact Assessment drawing on evidence produced by the National Audit Office in July 2011. This estimated that 70% of consumer detriment is likely to arise out of activities which cross local authority boundaries. Evidence indicates the cost of this consumer detriment where offences occur across local authority boundaries is in excess of £4.8 billion.

Appendix F: Risk Register Extract

| RISK ID | RISK DESCRIPTION (Cause & Impact) | CONTROLS (Response Plan) | POST RESPONSE: LIKELIHOOD / IMPACT |
|---------|--|---|---|
| 1 | One of the <u>Partners withdraws</u> from the Project, due to a <u>lack of mutual agreement</u> around the Business Case and/or Inter Authority Agreement or wider political/financial pressures/tensions, resulting in the Shared Service not being implemented and existing TS ties (e.g. TSMT) being severed. | <ul style="list-style-type: none"> - Ensuring that plans and key project documentation are developed in consultation with the SROs and with the Project Board (at a high level), to ensure operational and political interests are reflected - Engaging in early discussion about any potential "deal breakers" and ensuring that both parties have clarity on key issues (including checking that appropriate advice has been sought, e.g. legal/finance/HR) - Undertaking environmental analysis (PESTLE/SWOT) in order to identify and assess potential points of tension / areas that could cause this to happen and have in place risk responses and a robust communications plan. - Regularly reviewing escalated Risks & Issues with the Project Board. - Involving a third-party to lead on managing the Project with both parties, to introduce impartiality, at the start of the project. - Receive external advice on TUPE (and other sensitive areas) to ensure that proposals are reasonable, robust and consistent with other practices in the market. - Engaging early with both Legal Teams and encourage them to co-design the MoU / IAA. | Remote / Severe |
| 2 | A failure to effectively engage with TS staff, particularly around TUPE and Terms and Conditions, results in <u>resistance to change</u> , tensions between BCC and SCC staff and/or potential industrial dispute. | <ul style="list-style-type: none"> - Good communications / Keeping staff informed through creation of Stakeholder Engagement and Communications (SEC) WG and robust Communications Plan, built on the foundation of analysis including SWOT/PESTLE at an individual level - Involving staff in design through WGs - Understanding points of tension / areas that could cause resistance - Inform Unions, understand what involvement they seek - Focusing effort on areas where resistance will most undermine the project | Likely / Moderate |
| 3 | <u>Incompatibilities of IT systems</u> (or other technical aspects of the two services) results in project slippage, inefficient work-arounds and/or additional systems investment or technical support being required. | - An IT Working Group (ITWG) has been created to scope and risk assess the IT alignment aspects of this Project and to plan the transitional steps from the present to future state | Possible / Moderate |
| 4 | A <u>lack of required investment in essential IT</u> (e.g. databases, equipment, connectivity), infrastructure and other technical aspects compromises the delivery of the service standard and integration being sought. | <ul style="list-style-type: none"> - A Systems Working Group has been created to scope and risk assess the IT alignment aspects of this Project and to plan the transitional steps from the present to future state. - Piloting and testing will be factored in to Phases 3/4 of this project, to try to identify any issues. - Any additional investment decisions will be assessed by the Project Board, who will be provided will full briefings on the problem, impact and a range of costed solutions. | Remote / Significant |
| 5 | A <u>lack of investment in Project Management</u> (resource, planning, delivery) and insufficient internal BCC/SCC commitment/resource to deliver the project, leads to project delays or failure to meet objectives and realise benefits. The <u>end of Iese involvement</u> and handover of PM to SCC / BCC leads to less robust PM approach when planning Phase 3 and Phase 4, with some necessary actions not being completed, possible risks not being managed. | <ul style="list-style-type: none"> - Engagement of IESE to manage Phase 1+2 of the Project and to provide expertise/experience in relation to organisational transformation, design & culture and HR-specific issues (e.g. TUPE). - Having an influential Project Board, which understands the time required by BCC and SCC resources and the Board itself. This is also to be supported by clear project governance arrangements. - The development of a robust project structure and key documentation, which clearly lays out the main activities of the project and resource requirements. Also to be supported by regular project reporting. - The creation of aligned WG Terms of Reference documents, which set out the activities and scope of the WG and the way in which the WG engages with the wider project. - SROs to carefully plan for usage of Iese's remaining service hours - Iese to create handover documentation for SCC/BCC to pick up - Internal PM resource to work more closely with each other to determine new roles and responsibilities | Certain / Moderate |
| 6 | <u>Budget/resource reductions and/or unfavourable political decisions</u> relating to TS in either or both authorities result in adverse impacts or additional or changed demands, which will need to be factored in to the new TS JS Target Operating Model (TOM) design. <u>Dependencies outside of the project</u> (e.g. the 'BCC Future Shape' Programme, authority savings targets and/or any potential authority move towards outsourcing), lead to 'trade-offs' that affect project delivery and/or the quality of the resulting joint service, or may lead to the project being closed altogether. | <ul style="list-style-type: none"> - Retaining awareness of financial situation in each authority (to predict and act quickly if adverse budget decisions are being considered) - Being clear to financial decision makers of the impact of reduced budgets (good use of intel and data) - Recommending that the TS are out of scope for the BCC "Future Shape" Programme, via the BCCTS JS Project Board representatives - Interdependent Programmes/Projects are being identified as part of the Business Case process, which will include review of plans and impact. - BCC/SCC Cabinet Members will be briefed about TS JS throughout the project, so they are aware of what this project is aiming to do and when, so that they can consider this when planning other projects. - Continued relationship between HoS and their finance teams as part of the budget setting process - Awareness of outside projects and programmes to be continued throughout planning phase 3 and 4 | Possible / Significant |

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Appendix F: Risk Register Extract

| RISK ID | RISK DESCRIPTION (Cause & Impact) | CONTROLS (Response Plan) | POST RESPONSE: LIKELIHOOD / IMPACT |
|---------|--|---|---|
| 7 | <u>Concerns about the potential for return on investment</u> and the overall mutual benefits of introducing the joint service, mean that the <u>project does not gain approval from BCC and SCC Cabinets</u> , resulting in either severe slippage while the business case re-enters the approval process, or in project closure. | <ul style="list-style-type: none"> - A template has been provided to Working Group Leads which requires them to quantify benefits in either financial or time savings or increased income. - In the initial conversations between BCC and SCC, it was noted that the benefits would be mainly be around increased resilience and other factors which are difficult to translate into tangible outcomes. - The present over-arching benefits have been shared informally in the past during inter-authority meetings and have been considered valid. - A full project budget forecasting exercise has been undertaken as part of this exercise, which provides several costed options. | Remote / Severe |
| 8 | The development of the detail of the Target Operating Model (TOM) highlights <u>logistical (e.g. linked to geography) or technical obstacles</u> and/or conflicting opinions regarding the acceptable levels of local variation, standardized practice and resourcing, creating slippage or failure to secure approval for the Business Case. | <ul style="list-style-type: none"> - The Working Groups were created early on in the project and there is already understanding from both sides about how each service works presently and the parts that both would like to take forward in the future and some of the potential geographical barriers have been discussed up front. - The Business Case will be taken through each Authorities appropriate political decision processes and pre-briefings will be provided to key members. Cabinet Members will also identify potential opposition as soon as possible and flag it to the Board. | Remote / Moderate |
| 10 | A <u>lack of agreement around financial aspects</u> (including sources of funding for the project, transparency around overheads/on-costs, projected income/expenditure for the new service and calculating the relative budget contributions and revenue share) leads to project slippage and/or political tensions. | | Possible / Moderate |
| 11 | Some of the more <u>complex aspects outlined within the Target Operating Model (TOM) prove more difficult to agree and implement</u> than originally anticipated - potentially including legal, contractual and relations with other partners - which leads to unplanned iterations of original plans or changes in direction, and creates project slippage. | <ul style="list-style-type: none"> Ensure clear comms with all staff and WG leads on what is to be achieved and how service is going to get there Monitor and control progress on Implementation plan | Remote / Moderate |
| 12 | <u>Slippage</u> (particularly linked to the processes described in risk 7) leads to the 'heavily preferred' full service <u>launch date (April 15) being missed</u> and results in dis-juncture between financial and business planning/reporting arrangements. | <ul style="list-style-type: none"> Robust control of critical path of WG implementation, and overall project duration (review at PM meetings) Up-date PB and escalate issues to PB to resolve (more funding for project support / external consultancy to bring project in on time) | Remote / Significant |
| 13 | <u>Staff may be affected by changes to the way they work</u> and in particular BCC staff re TUPE, which might lead to resistance, decreased work output | People WG considered likely obstacles and produced action plan to overcome / mitigate them; Full consultation throughout TUPE process with staff and unions to raise issues and address them | Possible / Moderate |
| 14 | <u>Individual authority independence</u> and autonomy around decision making processes for local issues might be affected by joint service set up, which might lead to dispute | Governance, decision-making authority and dispute process are being described and agreed on in the Inter Authority Agreement; Representatives of both parties on Joint Committee and Management Board to raise and dissolve possible issues around autonomy | Remote / Significant |

EQUALITY IMPACT ASSESSMENT

1. Topic of assessment

| | |
|-------------------|--|
| EIA title: | Buckinghamshire County Council and Surrey County Council Trading Standards Joint Service Project |
|-------------------|--|

| | |
|--------------------|--|
| EIA author: | (To end of July 2014): Ian Dewar, Policy Manager, Customers and Communities, Surrey County Council. (August onwards): Gina Green, Buckinghamshire Trading Standards |
|--------------------|--|

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2. Approval

| | Name | Date approved |
|--------------------------------|-------------|----------------------|
| Approved by¹ | | |

3. Quality control

| | | | |
|-----------------------|--------------|----------------------|--|
| Version number | V1.3 | EIA completed | |
| Date saved | 30 July 2014 | EIA published | |

4. EIA team

| Name | Job title (if applicable) | Organisation | Role |
|--------------|----------------------------------|---------------------|------------------|
| Ian Dewar | Policy Manager | Surrey CC | Lead (to July) |
| Gina Green | Trading Standards Team Leader | BCC | Lead (post July) |
| Cathy Murphy | Trainee Project Manager | IESE | Research support |

¹ Refer to earlier guidance for details on getting approval for your EIA.

EQUALITY IMPACT ASSESSMENT

5. Explaining the matter being assessed

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| | | | | | | | | | | | | | | | | | | | | | | | |
|---|---|--------------|-----------------|----------|----------------|----------|--------------------------------|--------------|---------------------------------------|----------|---------------------------------|----------|----------------------------------|--------------|-------------------------------|----------|------------------------------|----------|------------------------------|----------|------------------------------|--------------|---|
| <p>What policy, function or service is being introduced or reviewed?</p> | <p>The Trading Standards Services from Surrey County Council and Buckinghamshire County Council are seeking to develop a landmark first “strategic alliance” through creating a Joint Trading Standards Service. The development of a Joint Service will allow a positive approach to meeting increasing financial pressures and the new consumer protection landscape, including greater national focus on cross border issues. The suggested way forward sits well with considering alternative delivery vehicles and being more commercially minded.</p> <p>The work of Trading Standards ensures that the goods, services and food bought by residents is safe and meets minimum legal standards. The service ensures descriptions and claims made are not deceptive or misleading. In doing this, TS protects everyone, makes communities safer, improves health and supports the local economy by protecting legitimate businesses and local residents from unfair trading practices. In carrying out its role, and planning activities Trading Standards is intelligence-led, relying on robust information to target activity where it will achieve the greatest results.</p> <p>The full set of project documentation is under development and the key timeline dates for the project are:</p> <table data-bbox="448 1066 1441 1469"> <tr> <td>Dec-Jan 2014</td> <td>Project Scoping</td> </tr> <tr> <td>Feb 2014</td> <td>Project Launch</td> </tr> <tr> <td>Mar 2014</td> <td>Project Governance Established</td> </tr> <tr> <td>Apr-May 2014</td> <td>Data Gathering and initial Engagement</td> </tr> <tr> <td>Jun 2014</td> <td>Business Case and Plans Drafted</td> </tr> <tr> <td>Jul 2014</td> <td>Agreement in Principle BCC / SCC</td> </tr> <tr> <td>Aug-Mar 2015</td> <td>Project Initiation & Delivery</td> </tr> <tr> <td>Oct 2014</td> <td>Cabinet approval to progress</td> </tr> <tr> <td>Feb 2015</td> <td>Technical acceptance testing</td> </tr> <tr> <td>Apr 2015</td> <td>Full Launch of Joint Service</td> </tr> <tr> <td>Apr-Oct 2015</td> <td>Benefits Monitoring and Project Closure</td> </tr> </table> <p>(The full Project Plan is available from ggreen@buckscc.gov.uk)</p> | Dec-Jan 2014 | Project Scoping | Feb 2014 | Project Launch | Mar 2014 | Project Governance Established | Apr-May 2014 | Data Gathering and initial Engagement | Jun 2014 | Business Case and Plans Drafted | Jul 2014 | Agreement in Principle BCC / SCC | Aug-Mar 2015 | Project Initiation & Delivery | Oct 2014 | Cabinet approval to progress | Feb 2015 | Technical acceptance testing | Apr 2015 | Full Launch of Joint Service | Apr-Oct 2015 | Benefits Monitoring and Project Closure |
| Dec-Jan 2014 | Project Scoping | | | | | | | | | | | | | | | | | | | | | | |
| Feb 2014 | Project Launch | | | | | | | | | | | | | | | | | | | | | | |
| Mar 2014 | Project Governance Established | | | | | | | | | | | | | | | | | | | | | | |
| Apr-May 2014 | Data Gathering and initial Engagement | | | | | | | | | | | | | | | | | | | | | | |
| Jun 2014 | Business Case and Plans Drafted | | | | | | | | | | | | | | | | | | | | | | |
| Jul 2014 | Agreement in Principle BCC / SCC | | | | | | | | | | | | | | | | | | | | | | |
| Aug-Mar 2015 | Project Initiation & Delivery | | | | | | | | | | | | | | | | | | | | | | |
| Oct 2014 | Cabinet approval to progress | | | | | | | | | | | | | | | | | | | | | | |
| Feb 2015 | Technical acceptance testing | | | | | | | | | | | | | | | | | | | | | | |
| Apr 2015 | Full Launch of Joint Service | | | | | | | | | | | | | | | | | | | | | | |
| Apr-Oct 2015 | Benefits Monitoring and Project Closure | | | | | | | | | | | | | | | | | | | | | | |
| <p>What proposals are you assessing?</p> | <p>The proposal under assessment is the establishment of the joint service. The aims of this initiative are principally to:</p> <ul data-bbox="507 1653 1445 1989" style="list-style-type: none"> • Share expertise and best practice, enhancing the resilience and robustness of the service • Maximising benefits by building on successes and innovation • Reducing costs through operating jointly, sharing resources and eliminating duplication • Establishing a larger national and regional profile, whilst maintaining local presence and accessibility • Enhancing key services • Creating a sustainable model that allows further developments | | | | | | | | | | | | | | | | | | | | | | |

EQUALITY IMPACT ASSESSMENT

| | |
|--|--|
| | <p>The principal aspects of the development of the joint service that require EIA consideration include:</p> <ul style="list-style-type: none"> • Establishing the potential impact to staff terms and conditions (and benefits), in relation to any TUPE transfer arrangements and the impact of the TUPE process itself. • Sharing of IT systems, data and associated governance processes, including DPA considerations • Communications and media, both internal and external • Financial and planning frameworks, including compliance with transparency, scrutiny and political governance processes • Accessibility and range of services provided to businesses, partners and consumers • Resourcing and service priorities in relation to vulnerable people and other protected characteristics |
| <p>Who is affected by the proposals outlined above?</p> | <p>Public and other stakeholders:</p> <p>There is no expectation that the development of the joint service will have any negative impact on the public facing service in either county. In particular there is no evidence at this point that there is an equalities impact to any of the protected characteristics. Rather, the potential to share and extend the range of activity, and the expected greater financial resilience arising from the initiative are more likely to yield a positive enhancement and greater protection of services from financial pressures. Both authorities prioritise support and protection activities to vulnerable people and this will remain a primary focus for the joint service.</p> <p>There is well established evidence that enhanced support to people, especially those who are vulnerable, enhances their quality of life and reduces the likelihood of their becoming more dependent upon secondary and tertiary support services. A key element in this is the sense of security delivered by improved community safety, of which Trading Standards activity is a key element. The sharing of expertise and improved service availability that the joint service will deliver, will enhance this impact in both authorities. This will deliver both personal and community benefits and, as a result, have a positive impact on the private and public economies.</p> <p>Staff:</p> <p>Existing staff will be affected to varying degrees by the proposals, primarily as a result of:</p> <ul style="list-style-type: none"> • TUPE of staff from BCC to SCC (expected) • Some potential changes arising from convergence of terms, conditions and benefits • Developing a common policy towards career progression • Some recasting of individual roles and responsibilities to reflect the new joint service management and delivery need • Changes in processes and systems, requiring training and operational adjustments |

EQUALITY IMPACT ASSESSMENT

All aspects of the staff processes will be managed with full HR support and backed up with extensive consultative and communication activity. In many ways the joint service will be expected to bring positive benefits as a result of greater opportunities within a larger and more secure, and prestigious service.

7

6. Sources of information

Engagement carried out

Regular communication and engagement has been undertaken with staff throughout the process, including:

- Update briefing and progress e-mails to Trading Standards staff in both authorities
- Discussion and internal staff meetings, leading to the development of FAQs
- Briefings at internal whole team meetings, delivered by senior managers from both authorities
- Joint staff conferences, held on 7 May and 16 July 2014, with further dates planned for September and later in the year
- Establishment of a shared space on the Trading Standards South East Ltd (TSSEL) website, with passcode access enabled for all staff, providing key documents, dates and chat / discussion streams
- Open invitation to all staff to contact the project management team or individual managers with queries or comments

Staff have also had the opportunity to become actively involved in the working groups developing specific strands of the project. There are currently seven of these, each with lead and membership drawn from both authorities' staff

Members have been kept informed through:

- Regular briefings between Portfolio Holders and Heads of Service
- Establishment of a Project Board including Portfolio Holders and Strategic Directors from both authorities
- Briefing and information sessions for informal Cabinet / Corporate Leadership meetings in both authorities, with dates set for Select Committee (July) and Cabinet agendas (October)

Public and partner engagement has been informal and limited to date but a newly convened working group will be developing and delivering a programme of internal and external Communications to raise the profile of the project and the joint service itself

Data used

Detailed service data is being collated and analysed by the working groups as part of the work to develop options and define the Target Operating Model for the joint service. As the detailed models for implementation develop over the project, evidence and proposals will be assessed for their potential equalities impact and, where appropriate, further EIAs may be undertaken. It is expected that this is only likely to occur in relation to staff terms and conditions (and benefits), including TUPE.

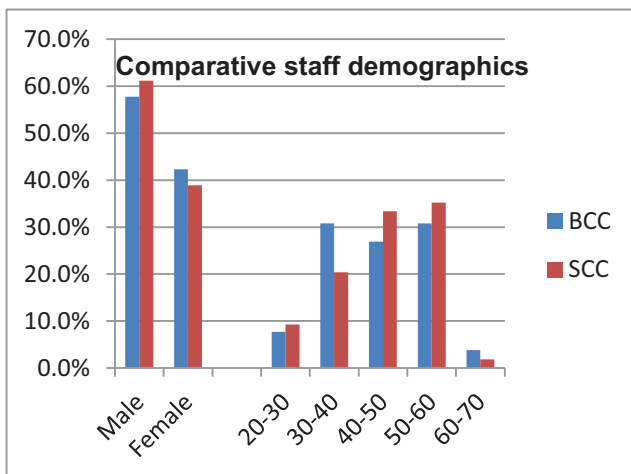
EQUALITY IMPACT ASSESSMENT

The data included here provides a breakdown on the existing staffing of the two existing services, and also an overview of the census data for the two counties.

1. Staff numbers and characteristics

| | | BCC | SCC |
|---|--------------|-------|-------|
| No. of staff: | | 25 | 50 |
| Gender | F | 57.7% | 61.1% |
| | M | 42.3% | 38.9% |
| AGE: | 20-30 | 7.7% | 9.3% |
| | 30-40 | 30.8% | 20.4% |
| | 40-50 | 26.9% | 33.4% |
| | 50-60 | 30.8% | 35.2% |
| | 60-70 | 3.8% | 1.9% |
| Work pattern | F/T | 69.2% | 88.0% |
| | P/T | 30.8% | 12.0% |
| Race / Religion / Sex / Sexuality / Gender reassignment / Marital status/ Civil partnerships / Maternity & Pregnancy | | Zero* | Zero* |

*Data indicated as Zero is either not routinely collected or, in line with DPA principals would yield values of 10 or less and therefore carry an enhanced risk of identification by association



Commentary:

In line with other aspects of the two services, the proportion of staff is roughly 2:1 between SCC and BCC. The two staff groups are broadly very similar, with more female than male employees, though the SCC staff has a slightly older demographic (67% aged 40-60 compared to 57% in BCC).

There is a higher proportion of full time staff (88%) within SCC than in BCC (69%).

Other data is not displayed (See note below the table). In some cases this is because it is not routinely collected but primarily, with such small populations, the convention is not to show very small numbers / proportions. For each of the se categories the numbers in minority categories are very small and individual needs arising will be considered fully.

In summary, the data suggests that any changes that may impact on staff will need to be specifically responsive to the needs of three groups:

- Those currently in part time roles, where the terms and conditions may affect working patterns or base of operations
- The needs of the small minority of staff who have a disability
- The individual needs of the small minority of staff from BME ethnic groups

EQUALITY IMPACT ASSESSMENT

2. Wider county demographics

| | | BCC | SCC |
|--------------------------------------|---|-------|--------|
| Gender | F | 50.1% | 51.0% |
| | M | 49.9% | 49.0% |
| Age | 0-10 | 13.7% | 12.1% |
| | 11-19 | 11.4% | 11.9% |
| | 20-39 | 23.2% | 24.4% |
| | 40-59 | 28.9% | 28.2% |
| | 60-74 | 15.0% | 14.7% |
| | 75-84 | 5.6% | 5.9% |
| | 85+ | 2.2% | 2.6% |
| Percentage change 2001 - 2011 | 0-10 | 0.5% | 6.78% |
| | 11-19 | 5.9% | 8.15% |
| | 20-39 | -7.8% | -4.22% |
| | 40-59 | 7.7% | 9.04% |
| | 60-74 | 24.0% | 20.01% |
| | 75-84 | 22.5% | 10.45% |
| | 85+ | 26.3% | 25.52% |
| | Overall | 5.5% | 6.94% |
| Ethnicity | White | 86.4% | 90.4% |
| | Non-white | 13.6% | 9.6% |
| Other significant factors: | | | |
| | % Pensioners living alone | 11.8% | 14.3% |
| | % Population economically active | 73.6% | 73.6% |
| | economically inactive | 26.4% | 26.4% |
| | Long term sick / disabled | 2.0% | 2.1% |
| | Long term limiting illness | 13.4% | 13.5% |
| | Bad / very bad health | 3.5% | 3.5% |
| | Unemployed | 3.0% | 2.8% |

Commentary:

This data, drawn from the 2011 census, shows that there is a considerable similarity between the two counties.

The variations with the most potential significance identified here are:

- The non-white proportion of the population in Bucks is 14% compared to 10% in Surrey
- The % of pensioners living alone is higher in Surrey (14%) compared to Bucks (12%)

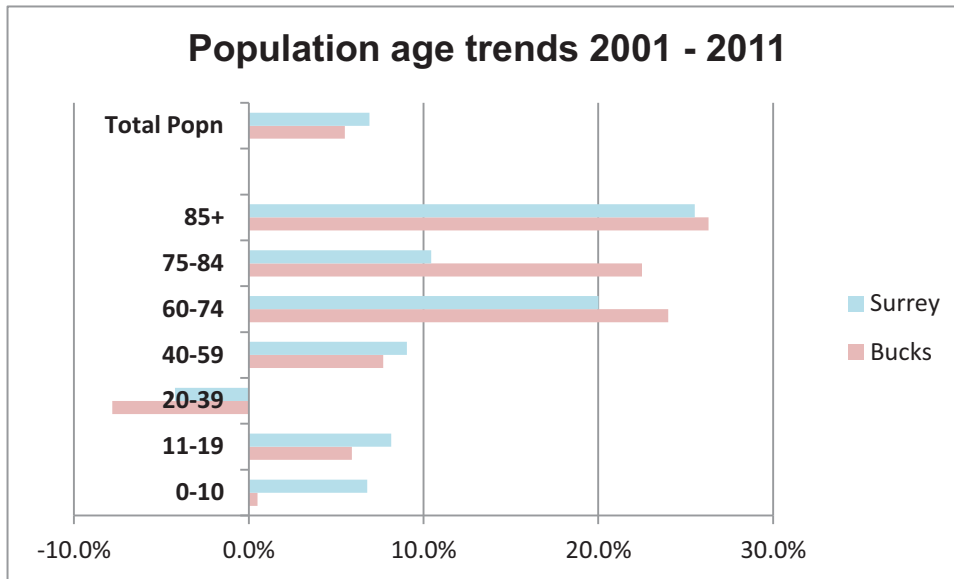
Both of these groups are likely to be prominent in those identified as vulnerable to predatory or exploitative trading practices and each of the services has developed responses to the needs of these people and communities which should identify shared best practice within the joint arrangements.

The other significant factor is the indication of population growth between 2001 and 2011, which is significantly different for key age demographics between the two counties. (see below)

Since both existing services are intelligence-led and responsive to the needs of their local populations the data does not suggest that there will be any new issues anticipated from the establishment of a joint service.

EQUALITY IMPACT ASSESSMENT

Population change 2001-2011



7

In terms of planning for the future shape of a service, the trend in population growth demonstrated between census figures provides a strong indication of future demand. The data for Bucks and Surrey, as illustrated in the above graph shows significant variations:

Both populations have grown, with Surrey's population growing at a faster rate (7% compared to 6% in Bucks). The growth in under-10 year olds is particularly different with a 7% increase in Surrey compared to less than 1% in Bucks. Combined with the figures for the teenage years, this indicates that there is a considerably faster growth in young families, in Surrey than in Bucks.

Both populations show a marked decline in the 20-40 age group (Down 4% in Surrey and 7% in Bucks), though these still represent around a quarter of the population overall.

Increases in the number of older people reflect the perception of an ageing demographic that characteristics most of the Shire Counties, but the rate of growth in Bucks, particularly for the 75-84 age group is markedly faster than in Surrey (+23% compared to +11%). In both counties the over 60s account for just under a quarter of the population but this will contrast more starkly in Bucks than in Surrey with the situation ten years before.

The aging population is linked to improved health care and personal lifestyles, but there is also an established and increase demand on social and health services as a result of those who are more socially isolated or in poorer health. The data shows that between 11 and 14% of over 65s are living alone and these people are recognised as being among the most vulnerable.

The population trends suggest that the growths in young families, and vulnerable older people, and the enhanced service demands that they represent, is likely to increase and needs to be factored into the new service design.

EQUALITY IMPACT ASSESSMENT

7a. Impact of the proposals on residents and service users with protected characteristics

| Protected characteristic ² | Potential positive impacts | Potential negative impacts | Evidence |
|---------------------------------------|----------------------------|----------------------------|---|
| Age | | | <p>The development of the joint service is expected to have no negative impact on consumers or businesses and, more specifically, will be impact neutral in relation to those people within the two counties who have one or more of the Protected Characteristics. The demography of the two counties (See Page 9, above) is very similar and both authorities have developed services that are responsive to the needs of their populations. These will continue to be delivered and, may be enhanced for vulnerable people, who are prioritised.</p> <p>The analysis of the population growth trends on page 10, above, indicates that there is significant growth in two key age groups – the under 10s (more noticeably in Surrey), and the over 60s, particularly the over 70s (increasing more rapidly in Bucks). Both of these age groups create specific demands upon Trading Standards services, particularly in terms of protection from faulty and dangerous goods, under-age sales and protection from rogue trading.</p> <p>The aim of the joint service development is to ensure that the local impact and effectiveness of Trading Standards is maintained and, where efficiencies and the widening of specialist service availability allows, services are expected to be enhanced.</p> <p>People recognised as being more vulnerable to predatory or exploitative business practices, which may include older people, those with disabilities, and people from other ethnic backgrounds, will continue to be regarded as a priority and the sharing of experience between the two services is expected to extend best practice and improve service across the new joint arrangement.</p> <p>Development working groups are actively working on strands of the Target Operating Model for the new service. Among these are the Working Practices and Business Planning groups that will be identifying the operational and policy frameworks for the new service. As this work progresses additional information will be assessed for Equalities consideration and any operational frameworks will be tested for potential impact on the protected characteristic groups. If deemed necessary a secondary EIA may be required</p> |
| Disability | | | |
| Gender reassignment | | | |
| Pregnancy and maternity | | | |
| Race | | | |
| Religion and belief | | | |
| Sex | | | |
| Sexual orientation | | | |
| Marriage and civil partnerships | | | |

² More information on the definitions of these groups can be found [here](#).

EQUALITY IMPACT ASSESSMENT

7b. Impact of the proposals on staff with protected characteristics

The analysis of staff demographics is set out on page 8. On the basis of this evidence there is no expectation of any negative impacts on any of the existing staff arising from any Protected Characteristics. Any changes to Terms and Conditions, including Employer, working practices, roles and responsibilities, and job location will be subject to consultation, fully supported by HR and undertaken in compliance with approved policy and legislation. It is expected that a more detailed EIA will be undertaken once the staffing element of the joint service development commences the development and implementation phase.

| Protected characteristic | Potential positive impacts | Potential negative impacts | Evidence |
|--------------------------------|--|--|--|
| Age | The age breakdown of the staff is largely within the normal working age range and only a small proportion are aged 60 or older. The impact from the development of the joint service is expected to be neutral, but all processes will be managed with HR support and in line with established principles. A common approach to career progression (established in BCC but developing in SCC) may deliver positive impacts, especially for younger employees | The age breakdown of the staff is largely within the normal working age range and only a small proportion are aged 60 or older. The impact from the development of the joint service is expected to be neutral, but all processes will be managed with HR support and in line with established principles. A common approach to career progression (established in BCC but developing in SCC) may deliver positive impacts, especially for younger employees | See page 8, staff demographics, above. The proportion of staff aged 60 and above is 4% in BCC and 2% in SCC |
| Disability | Only a very small proportion of the staff are identified as having a disability. The impact from the development of the joint service is expected to be neutral, but all processes will be managed with HR support and in line with established principles. There is no expectation that most staff will be expected to relocate or co-locate, but there may be an issue with parking at the BCC offices that will need to be addressed | Only a very small proportion of the staff are identified as having a disability. The impact from the development of the joint service is expected to be neutral, but all processes will be managed with HR support and in line with established principles. There is no expectation that most staff will be expected to relocate or co-locate, but there may be an issue with parking at the BCC offices that will need to be addressed | See page 8, staff demographics, above. The proportion of staff identified as having a disability is 4% in SCC. No data available for BCC |
| Gender reassignment | No evidence of any potential impact | No evidence of any potential impact | No data available |
| Pregnancy and maternity | Around a third of employees are under 40 and may therefore have young families or may become pregnant. The impact from the development of the joint service is expected to be neutral, but all processes will be managed with HR support and in line with established principles. | Around a third of employees are under 40 and may therefore have young families or may become pregnant. The impact from the development of the joint service is expected to be neutral, but all processes will be managed with HR support and in line with established principles. | See page 8, staff demographics, above. The staffs are both around 60% female and the proportion of employees aged 20-40 is between 30% (SCC) and 39% (BCC) |
| Race | Only a very small proportion of the staff are from a BME ethnic background. The impact from the development of the joint service is expected to be neutral, but all processes will be managed with HR support and in line with established principles. | Only a very small proportion of the staff are from a BME ethnic background. The impact from the development of the joint service is expected to be neutral, but all processes will be managed with HR support and in line with established principles. | See page 8, staff demographics, above. The proportion of staff from BME ethnic background is 4% in SCC. No data available for BCC |

EQUALITY IMPACT ASSESSMENT

| Protected characteristic | Potential positive impacts | Potential negative impacts | Evidence |
|---------------------------------|-------------------------------------|-------------------------------------|---|
| Religion and belief | No evidence of any potential impact | No evidence of any potential impact | See page 8, staff demographics, above. There is no evidence of any religious or belief factors that need to be taken into account |
| Sexual orientation | No evidence of any potential impact | No evidence of any potential impact | No data available |
| Sex | No evidence of any potential impact | No evidence of any potential impact | See page 8, staff demographics, above. The majority of staff are female |
| Marriage and civil partnerships | No evidence of any potential impact | No evidence of any potential impact | No data available |

EQUALITY IMPACT ASSESSMENT

8. Amendments to the proposals

| Change | Reason for change |
|---|-------------------|
| None identified at this stage but equalities considerations will be factored into further development and planning and further EIAs undertaken where deemed appropriate | |

7

9. Action plan

| Potential impact (positive or negative) | Action needed to maximise positive impact or mitigate negative impact | By when | Owner |
|--|--|--|--|
| Potential for positive and negative impact on staff arising from changes to conditions of employment in establishing the joint service | <p>All activity conducted with HR support and in line with policy and legislative frameworks</p> <p>Full and open comms throughout with all staff</p> <p>More detailed EIA to be undertaken as the detailed arrangements are developed and implemented</p> | TBC but will reflect project and statutory timelines | Project Sponsors, supported by HR from BCC and SCC |
| No other specific actions identified at this stage but all developing elements of the Target Operating Model and implementation of the joint service will be assessed for equalities implications and other specific EIAs may be developed as identified | | | |

10. Potential negative impacts that cannot be mitigated

| Potential negative impact | Protected characteristic(s) that could be affected |
|--|--|
| None identified – the project is expected to be impact-neutral | |

EQUALITY IMPACT ASSESSMENT

11. Summary of key impacts and actions

| | |
|--|---|
| Information and engagement underpinning equalities analysis | Open and diverse staff communications throughout |
| Key impacts (positive and/or negative) on people with protected characteristics | None identified, though further developments and data will be assessed and additional EIAs undertaken if deemed appropriate |
| Changes you have made to the proposal as a result of the EIA | None identified at this stage |
| Key mitigating actions planned to address any outstanding negative impacts | EIA to support the detailed development of changes to staff conditions of employment |
| Potential negative impacts that cannot be mitigated | None identified at this stage |

7



Communities Select Committee
25 September 2014

Internal Audit Report – Review of Surrey Arts 2013/14

Purpose of the report: Scrutiny of Services

To review the summary of audit findings and Management Action Plan produced as a result of an internal audit review of Surrey Arts 2013/14.

Introduction:

1. It has been agreed by the Chairmen of the Council's Select Committees that any relevant Internal Audit reports that have attracted an audit opinion of either "Major Improvement Needed" or "Unsatisfactory", and/or those with high priority recommendations, will be considered for inclusion on the Committee's work programme.

Context:

2. Internal Audit undertook a review of Surrey Arts in July 2014. The report produced as a result of this review attracted an audit opinion of "Significant Improvement Needed". There were 3 High Priority recommendations and 2 Medium Priority recommendations made. A summary of the audit findings and recommendations is attached as **Annex A**. The agreed Management Action Plan is attached as **Annex B**. The supporting audit report has been previously circulated to Committee members.
3. Officers from the service and Internal Audit will be available at the meeting, and the Select Committee is asked to review the actions being taken to address the audit recommendations made.

Recommendations:

4. That the Committee review the audit report and Management Action Plan and makes recommendations as necessary.

Next steps:

The Committee will continue to have oversight of any relevant audit report that has attracted an audit opinion of either “Major Improvement Needed” or “Unsatisfactory”, and/or those with high priority recommendations.

Report contact: Sue Lewry Jones, Chief Internal Auditor

Contact details: 020 8541 9190

Sources/background papers: Internal Audit Report – Review of Surrey Arts 2013/14, July 2014

Surrey Arts – Summary Internal Audit Findings and Recommendations

Annex A

| Audit | Background to review | Key findings | Audit opinion (1) | Recommendations for improvement (Priority) (2) |
|-------------|--|---|--------------------------------|--|
| Surrey Arts | <p>In August 2013 Surrey Arts consolidated its operations at a new facility in Guildford. The move has allowed it to bring together in one location its extensive holding of musical instruments and costumes, which represent an important revenue stream.</p> <p>In order to identify both areas of good practice, opportunities for improvement, and maximise the potential benefits of being located in a new facility, the Head of Cultural Services asked Internal Audit to review asset management.</p> | <p>Recent acquisitions of instruments have been funded through a grant from central government to support national initiatives promoting music lessons in schools. Changes to these initiatives, however, has created a misalignment between stock holding and demand from hiring schools.</p> <p>The Service does not have an articulated approach to generating revenue from the hire of instruments.</p> <p>Records of stock are at present incomplete, though the introduction of a new music tuition management system offers the opportunity to create a comprehensive database.</p> <p>Schools and individuals who hire instruments are required to sign an agreement which stipulates that they are responsible for loss or damage while it is in their possession. The auditor could not locate five signed agreements from a sample of 31 documents (16%).</p> <p>The Service does not have an asset disposal policy.</p> | Significant Improvement Needed | <p>Surrey Arts should consider creating an asset management strategy which effectively joins up all activities related to the acquisition, monitoring, maintenance and disposal of its musical instrument stock. (H)</p> <p>Surrey Arts should consider creating an articulated income strategy which details future plans for using its assets to generate revenue. (H)</p> <p>Surrey Arts should strongly consider prioritising the creation of a comprehensive database of its instrument stock. (H)</p> <p>The Service should review its records management arrangements to ensure that all signed hire agreements are safely kept until the instrument is returned. (M)</p> <p>Surrey Arts should consider articulating an asset disposal policy which details how value from unwanted instruments can be reclaimed. (M)</p> |

¹ **Audit Opinions**

| | |
|---------------------------------------|---|
| Effective | Controls evaluated are adequate, appropriate, and effective to provide reasonable assurance that risks are being managed and objectives should be met. |
| Some Improvement Needed | A few specific control weaknesses were noted; generally however, controls evaluated are adequate, appropriate, and effective to provide reasonable assurance that risks are being managed and objectives should be met. |
| Significant Improvement Needed | Numerous specific control weaknesses were noted. Controls evaluated are unlikely to provide reasonable assurance that risks are being managed and objectives should be met. |
| Unsatisfactory | Controls evaluated are not adequate, appropriate, or effective to provide reasonable assurance that risks are being managed and objectives should be met. |

² **Audit Recommendations**

- Priority High (H)** - major control weakness requiring immediate implementation of recommendation
- Priority Medium (M)** - existing procedures have a negative impact on internal control or the efficient use of resources
- Priority Low (L)** - recommendation represents good practice but its implementation is not fundamental to internal control

MANAGEMENT ACTION PLAN

| | |
|----------------------|--------------------------------------|
| Directorate: | Customers And Communities |
| Audit report: | Review Of Surrey Arts 2013/14 |
| Dated: | July 2014 |

PRIORITY RATINGS

Priority 1 (high) - major control weakness requiring immediate implementation of recommendation

Priority 2 (medium) - existing procedures have negative impact on internal control or the efficient use of resources

Priority 3 (low) - recommendation represents good practice but its implementation is not fundamental to internal control

| Para Ref | Recommendation | Priority Rating | Management Action Proposed | Timescale for Action | Officer Responsible | Audit Agree? |
|----------|---|-----------------|--|----------------------|-----------------------------|--------------|
| 5.5 | Surrey Arts should consider creating an asset management strategy which effectively joins up all activities related to the acquisition, monitoring, maintenance and disposal of its musical instrument stock. | High | A paper will be prepared for the Senior Management Team (SMT) to evolve an Asset Management Strategy | September 2014 | Kathy Newlands/ Derek Jones | Yes |
| 5.13 | Surrey Arts should consider creating an articulated income strategy which details future plans for using its assets to generate revenue. | High | The paper above will also address issues surrounding income strategy | September 2014 | Kathy Newlands/ Derek Jones | Yes |

I agree the action above and accept overall accountability for their timely completion. I will inform Internal Audit if timescales are likely to be missed.

The action agreed is / is not satisfactory.

Head of Service: Peter Milton
Date: 15 July 2014

Supervising Auditor: David John
Date: 15 July 2014

Internal Audit

| Para Ref | Recommendation | Priority Rating | Management Action Proposed | Timescale for Action | Officer Responsible | Audit Agree? |
|----------|---|-----------------|--|--|------------------------------|--------------|
| 5.18 | Surrey Arts should strongly consider prioritising the creation of a comprehensive database of its instrument stock. | High | A solution is currently in-hand and will involve an Opticon scanner purchased in March and being programmed by Paritor | Work will start on cataloguing by Sep 2014 | Kathy Newlands | Yes |
| 5.22 | The Service should review its records management arrangements to ensure that all signed hire agreements are safely kept until the instrument is returned. | Medium | This is being managed by Claire Craig in the Operations Team and being aligned with the data on held on Paritor. | Has been actioned | Kathy Newlands/ Claire Craig | Yes |
| 5.28 | Surrey Arts should consider articulating an asset disposal policy which details how value from unwanted instruments can be reclaimed. | Medium | To be included within the paper to SMT due in September | September 2014 | Kathy Newlands/ Derek Jones | Yes |



Communities Select Committee
25 September 2014

Magna Carta update

Introduction

The 15th June 2015 will mark the 800th anniversary of the sealing of the Magna Carta by King John in Runnymede.

Surrey County Council are working closely with a wide range of partners to ensure appropriate commemoration activities and events are programmed for residents and visitors alike.

The Council aims to raise profile of the area attract inward economic investment into the County through the installation of a British Magna Carta art commission, playing host to the official event on the 15 June 2015, delivering an extensive event & education programme, and ensuring a legacy of improvements to the visitor offer, site access and interpretation, and the creation of a culturally branded tourist destination - Magna Carta Country.

Cabinet approved a budget of £1M to support the events programme (£300K) and the commissioning of an artwork to commemorate the 800th anniversary (£700K).

1.0 Magna Carta Art Commission

Surrey County Council and National Trust, as the landowners, along with the local authority and representatives of artistic organisations, have selected an artist of notable repute to further develop a favoured proposal.

An intensive community engagement programme will progress over the next few months, and the artist's timescale of delivery is the 15 June 2015.

The Cabinet approved a total budget of £700K for the commission. The selection panel was chaired by the Leader of SCC and contract negotiations are being finalised with the artist before announcements can be made.

2.0 Official Event – 15th June 2015

The 15th June 2015 event will be an exciting celebration of the foundation of Liberty through the Magna Carta. It will be a contemporary event full of music, drama and action that remembers the past but acknowledges the future. A senior member of the Royal Family, with

Dignitaries (local, national - and international), community representatives and schools will be present to witness the commemoration event in planning.

The event on the 15th June 2015 has four main outcomes.

These are:

1. To demonstrate the relevance of the Magna Carta, locally, nationally and internationally.
2. To reaffirm the principles of rule of law, fair justice, equality and safety from the abuse of governmental or judicial power.
3. To promote the vital importance of individual rights and acknowledge the role of Parliament in promoting these rights.
4. To acknowledge the Magna Carta's impact on constitutional and democratic development since 1215.

A Project Manager working jointly for Surrey County Council and the National Trust is coordinating the ceremonial event. A senior project board is in place (Chaired by the Director General of the National Trust - and with David McNulty as the Surrey County Council representative) to provide strategic direction and oversight of the arrangements, to ensure it is the most fitting of occasions.

The main official ceremonial event will take place on Runnymede Meadows on the morning of Monday 15th June 2015... and there will be programme of events and activities on site for the rest of the day. 'Liber-teas' - the afternoon event (tea party picnic style occasion), will involve community participation with various activities to promote debate on Magna Carta, liberty, freedom and law, animated through music, arts, drama and the spoken word.

Surrey County Council has committed a £100K contribution - which is being matched by the National Trust - and there are other contributors to the operational budget. Gap fundraising is still being undertaken.

3.0 Event Programme

3.1 Surrey County Council have contributed to a range of commemorative activities and initiatives across the county including:-

- An Eight Centuries of Magna Carta Giants Picnic Event: 15.06.2014 – the event to mark the 799th anniversary was a great success. The event involved a community parade with school children, performance, dance and song – with a community picnic to end.
- An exhibition created by Surrey using the Lincoln Magna Carta facsimile will tour across Surrey Libraries and the Surrey History Centre (Woking) from early January – March / and continue as a Magna Carta 800 exhibition tour (but without the loan - as this could only be negotiated for two months) to other libraries and venues around Surrey Libraries during 2015.
- Surrey Arts Magna Carta Royal Albert Hall concert: The event is an exciting new community concert that has been commissioned to celebrate the 800th anniversary of the sealing of the Magna Carta in Runnymede, Surrey. Composed by Hannah Conway, directed by Karen Gillingham with lyrics by Sir Richard Stilgoe - the world premiere performance will be on Tuesday 12th May 2015. The opera explores Magna Carta values such as democracy, liberty, citizenship and identity and their relevance to 21st Century Society and will be performed by over 1000 Surrey residents of all ages. Excerpts will also be performed at official Magna Carta celebrations in Runnymede in June 2015. (Note - Arts Council England have awarded Surrey Arts a

grant of £45,000 towards the development of Magna Carta 'The Freedom Game' project).

- Great Charter Festival: a major arts, science and debate family and community festival at RHUL on Sunday 14.06.14, which it is hoped will become a regular Magna Carta anniversary festival.
- High Street Community Banner project - co-ordinated by Egham Museum, this project will display Magna Carta inspired banners created by the community, for display in Egham and Staines High Streets, and Englefield Green, as a public art project.
- American Bar Association International Magna Carta exhibition which will be in the UK for six weeks will be at the Surrey History Centre from 15th - 27th June 2015 (and possibly at the Runnymede Borough Civic Offices for two weeks).
- Great Charter Magna Carta tapestry project.. a local craft skill inspired project - involving Magna Carta quilted images for exhibition, and for use as an educational resource.

Other projects being planned with offers of financial contribution from Surrey County Council include:-

- Tour of Salisbury Cathedral Magna Carta facsimile and exhibition of other contemporary art installation projects on Magna Carta events at Guildford Cathedral - June - August 2015:
- Houses of Parliament touring Magna Carta community theatre arts project to unite / connect the Magna Carta towns.
- Event/s in Egham High Street Summer holidays (July / Aug) 2015.
- Surrey History Centre 10th Magna Carta Study Day, with various speakers including Prof. Nigel Saul / May 2015
- Surrey History Centre Magna Carta lecture by Nick Barratt - "1215 and all that" - June 20th 2015
- Author and historical talks in libraries & public buildings across Surrey and the Royal Borough of Windsor and Maidenhead.
- Other projects include the Houses of Parliament constituency Magna Carta flags project and Liber-teas event, which will be part of the programme of events on the Runnymede Meadows on afternoon of 15th June 2015.

In addition, Surrey County Council has contributed to:-

- Smart phone App "Runnymede Explored" is being developed by Royal Holloway on behalf of the partnership, to help locals and visitors explore, and learn more about, the local area. Due for April 2015 launch - it will be widely promoted by all local stakeholders, alongside the Magna Carta trail promotion.

and will fund

- the audience development manager required as part of the development of the HLF bid.

Libraries across Surrey and Royal Borough of Windsor and Maidenhead (and Surrey History Centre) will be venues for a Magna Carta women's collage exhibition. This will highlight key historical women who, over 800 years, have broken down barriers with regard to women's rights and gender issues, including the right to vote.

3.2 Cabinet agreed a budget of £300k to support the local Magna Carta events programme.

£100k has been committed to support the major 800th anniversary event on Runnymede Meadows on 15th June 2015.... £113k has been committed to events that are confirmed - and £65k has been offered to events that are still in planning stage with stakeholders. A balance of £22k remains unallocated.

- 3.3** The stakeholders in the Magna Carta Partnership have a major programme of complimentary events in planning - including: lectures, guided tours, exhibitions, school games, student debates, river pageant, flower festival, theatre shows, music concerts, food and wine festivals, beacon lighting, bell ringing and community processions.

These events, along with events of other independent event organisers are centrally recorded and cross promoted as a comprehensive programme for residents and visitors of Surrey and the Royal Borough of Windsor and Maidenhead. Currently there are 56 events/activities scheduled and 13 events are in planning.

**NB: Please note that events, including exhibition and lecture programmes, are subject to change.*

Information on these events will be promoted at <http://www.visitsurrey.com/magna-carta>

4.0 Heritage Lottery Fund (HLF) Legacy Bid

A legacy bid by the 6 partners (National Trust, Surrey County Council, Runnymede Borough Council, Royal Holloway University of London, Brunel University, Royal Borough of Windsor and Maidenhead) in the Magna Carta Surrey Partnership for £4.5 million has been submitted to the HLF. The objective is to achieve a legacy of heritage and countryside /landscape conservation; improved access to and around the area; education, interpretation, recreation and visitor facilities; better local community and tourist use of the area etc.

The HLF have, on this occasion, decided to decline the bid application, however we are reassured by the fact that the partnership has been asked to resubmit an application in December 2014 and it is working closely with the HLF to ensure this complex partnership application has a successful outcome.

The legacy bid to the Heritage Lottery Fund formed just one strand of our plans for Runnymede - the 800th anniversary event programme, the official event on the 15th June 2015 and the art commission remain unaffected by this decision.

The Magna Carta Surrey Partnership is still committed to improve aspects of the visitor offer at Runnymede and to ensure that its importance and relevance to Magna Carta is fully understood, especially in the context of the 800th anniversary of its sealing at this special place. It is appreciated that there is limited funding available and that on this occasion other bids took priority.

ENDS

Lead Officer: Peter Milton



Communities Select Committee
25 September 2014

Appointment of a Select Committee Performance & Finance Sub-Group

Purpose of the report: Scrutiny of Services and Budgets

The Chairman will appoint a Performance & Finance sub-group to carry out reviews of service budgets as part of this year's business planning process.

Summary:

1. The Council Overview and Scrutiny Committee has recommended following discussions with the Leader that each Select Committee should establish a cross-party Performance & Finance Sub-Group of four or five Members, plus the Chairman of the Council Overview & Scrutiny Committee as an ex officio member.

Recommendations:

2. That the Committee agree the membership of a performance & finance sub-group, as set out by the Council Overview & Scrutiny Committee.

Report contact: Victoria White, Scrutiny Officer, Democratic Services

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Sources/background papers: None

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