

Notice of Meeting

Overview and Budget Scrutiny Committee

**Date & time**

Thursday, 14
September 2017 at
10.30 am

Place

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

Contact

Ross Pike or Emma
O'Donnell
Room 122, County Hall
Tel 020 8541 7368 or 020
8541 8987

Chief Executive

David McNulty



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This meeting will be held in public. If you would like to attend and you have any special requirements, please contact Ross Pike or Emma O'Donnell on 020 8541 7368 or 020 8541 8987.

Elected Members

Mrs Kay Hammond (Chairman), Mr Nick Harrison (Vice-Chairman), Ms Ayesha Azad, Mr Jonathan Essex, Mr Robert Evans, Mr Tim Evans, Mr Tim Hall, Mr David Harmer, Ms Charlotte Morley and Mrs Hazel Watson

TERMS OF REFERENCE

The Committee is responsible for the following areas:

Co-ordinates the Council's policy development and scrutiny work by agreeing work programmes for Select Committees, ensuring that reviews are focused on the Council's priorities and value for money, that reviews are cross-cutting where appropriate, and that work is not duplicated.

Performance, finance and risk monitoring for all Council services.

Policy development and scrutiny for Cross-cutting/whole-Council issues, including:

- Budget Strategy/Financial Management
- Improvement Programme, Productivity and Efficiency
- Equalities and Diversity
- Corporate Performance Management
- Corporate and Community Planning
- Transformation
- New models of delivery
- Digital strategy

AGENDA

1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS

2 MINUTES OF THE PREVIOUS MEETING 12 JULY 2017

(Pages 1
- 8)

To agree the minutes as a true record of the meeting.

3 DECLARATIONS OF INTEREST

All Members present are required to declare, at this point in the meeting or as soon as possible thereafter

- (i) Any disclosable pecuniary interests and / or
- (ii) Other interests arising under the Code of Conduct in respect of any item(s) of business being considered at this meeting

NOTES:

- Members are reminded that they must not participate in any item where they have a disclosable pecuniary interest
- As well as an interest of the Member, this includes any interest, of which the Member is aware, that relates to the Member's spouse or civil partner (or any person with whom the Member is living as a spouse or civil partner)
- Members with a significant personal interest may participate in the discussion and vote on that matter unless that interest could be reasonably regarded as prejudicial.

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 8 September 2017).
2. The deadline for public questions is seven days before the meeting (Thursday 7 September 2017).
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 RECOMMENDATIONS TRACKER AND SELECT COMMITTEE FORWARD WORK PROGRAMMES

(Pages 9
- 26)

The Committee is asked to monitor progress on the implementation of

recommendations from previous meetings and to review the forward work programme for each of the Select Committees.

7 LEADERSHIP RISK REGISTER (Pages 27 - 42)

This report provides Members with an overview of the council's risk management arrangements and presents the Leadership risk register as at 31st August 2017

8 BUDGET SUB-GROUP REPORT (Pages 43 - 48)

This report updates the Committee on the work the Budget Sub-Group carried out during June and July 2017.

9 TASK GROUP SCOPING (Pages 49 - 68)

The Committee is asked to review the scoping documents and suggest any amendments or additions for consideration by the Adults & Health, Children & Education and Communities Select Committees.

10 DATE OF NEXT MEETING

The next meeting of the Committee will be held at 10:00am on Thursday 16 November 2017.

David McNulty
Chief Executive

Published: Wednesday 6 September 2017

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MINUTES of the meeting of the **OVERVIEW AND BUDGET SCRUTINY COMMITTEE** held at 10.00 am on 12 July 2017 at Committee Room C, County Hall, Kingston upon Thames, Surrey KT1 2DN.

These minutes are subject to confirmation by the Committee at its meeting on Thursday, 14 September 2017.

Elected Members:

* present

- * Ms Ayesha Azad
- * Mr Jonathan Essex
- * Mr Robert Evans
- * Mr Tim Evans
- * Mr Tim Hall
- * Mrs Kay Hammond (Chairman)
- * Mr David Harmer
- * Mr Nick Harrison (Vice-Chairman)
- * Ms Charlotte Morley
- * Mrs Hazel Watson

Members in attendance

- * Mr Mark Brett-Warburton, Chairman of the Children and Education Select Committee
- * Mr Ken Gulati, Chairman of the Adults and Health Select Committee
- * Rachael I. Lake, Chairman of the Communities Select Committee

Ex officio Members:

Mr Peter Martin, Chairman of the County Council
Mr Tony Samuels, Vice-Chairman of the County Council

1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS [Item 1]

There were no apologies or substitutions.

With the Committee's agreement, the Chairman recommended that Item 2, minutes of the previous meeting, be taken at the end of the meeting when a Member of the Committee's predecessor, Council Overview Board, would be present.

2 DECLARATIONS OF INTEREST [Item 3]

There were no declarations of interest made.

3 QUESTIONS AND PETITIONS [Item 4]

There were no questions or petitions.

4 RESPONSES FROM THE CABINET TO ISSUES REFERRED BY THE SELECT COMMITTEE [Item 5]

The Committee noted the Cabinet response.

5 REVIEW OF SELECT COMMITTEE PROPOSED FORWARD WORK PROGRAMMES [Item 6]

Declarations of interest:

None

Witnesses:

Mark Brett-Warburton, Chairman of the Children & Education Select Committee

Ken Gulati, Chairman of the Adults & Health Select Committee

Rachael I. Lake, Chairman of the Communities Select Committee.

Key points raised during the discussion:

1. The Chairman began by explaining to the Committee that the process of reviewing the proposed forward work programmes of each individual select committee was to ensure that items scheduled for scrutiny reflected the council's priorities, were value for money, avoided duplication of work and were cross-cutting across the council. Members also noted that it was important to ensure Select Committees were not putting Democratic Service resources under strain by undertaking too many Member Reference Groups or Task & Finish Groups.
2. Members acknowledged the need for scrutiny involvement in policy development as well as subsequent scrutiny of performance post-implementation of decisions. It was noted that timing of items being considered was crucial in order for the scrutiny function to help influence the 2018/19 budget.
3. The Chairman invited each of the Select Committee Chairmen present to talk through their proposed forward work programme with the Committee.

Tim Evans entered the meeting at 10:10am

Adults & Health Select Committee (AHSC)

4. The Select Committee Chairman explained that the item for Housing Related Support was on the agenda for the committee's 14 July 2017 meeting to enable pre-decision scrutiny as this was on the Cabinet Forward Plan for 26 September 2017.

Hazel Watson, Robert Evans and Nick Harrison entered the meeting at 10:13am

5. It was explained that the item relating to the Acute Mental Health Ward relocation was a continuation of work from the Committee's

predecessor- the Wellbeing & Health Scrutiny Board- and that it was important to assess the impact on patients and their families following the substantial changes to the services implemented in early 2017.

6. Members noted that the Suicide Prevention Framework review was scheduled for scrutiny following a request from the Chair of the House of Commons' Health Select Committee.
7. The Select Committee Chairman explained that the other items on the AHSC forward work programme (listed at Annexe 1) would be scheduled dependent on service developments, whilst an item on Sexual Health Service provision was not currently on the forward work programme as it was subject to legal questions.
8. Members commented that it was important not to simply review Cabinet decisions as this would be a duplication of what the Cabinet Member has already undertaken, but instead, to add value, it would be useful to hear from service users as witnesses in order to understand their experiences and how the savings being achieved were impacting on service delivery.
9. The Chairman informed the Committee that transition between children's and adult social care had been identified as an important area for scrutiny at the first Select Committee's Chairman's Group meeting. Whilst it did not appear on AHSC's proposed forward work programme at Annexe 1, it was suggested that this was a cross-cutting issue and as such, that OBSC should recommend AHSC and the Children & Education Select Committee work together to investigate the transition, particularly for children with learning disabilities, between children's services and adult social care.
10. Members also requested that the Epsom & St Helier's Hospitals future plans were added to the forward work programme for scrutiny as a public discussion on the plans had just begun.

Tim Hall left the meeting at 10:27am

Children & Education Select Committee (CESC)

11. The Select Committee Chairman explained that a full Ofsted inspection of Children's Services was expected between September and October 2017, and the outcomes of that inspection would provide a steer on future scrutiny items for the Select Committee to address.
12. Members noted that the Surrey Education in Partnership programme had previously been an area of concern for the Committee's predecessor, the Education and Skills Board, and that this was a continuation of their work to assess the impact of new initiatives since implementation.
13. The Chairman highlighted to the Committee that the Early Help reconfiguration was due to generate £3.7m of savings in 2018/19. The Vice-Chairman added that most of the SEND savings were rated as amber in the Medium Term Financial Plan (MTFP) and it was likely that these savings would impact on SEND performance. It was

therefore agreed that OBSC should recommend that CESC considered an in-depth scrutiny item on the new Early Help Operating Model as this was of more importance than items such as a review of Pupil Referral Units.

14. The Chairman also drew Members' attention to the Unaccompanied Asylum Seeking Children item which was currently on the Cabinet Forward Plan. Members agreed that scrutiny of the county's strategy, what it aimed to achieve and whether efficiencies could be made should be considered by CESC.
15. Members acknowledged that the Children's Improvement Board had worked to improve service provision in some of the areas which have been listed on CESC's forward work programme at Annexe 1, and there were concerns that this would result in a duplication of work. It was agreed that the Select Committee Chairman should discuss with the Chairman of the Improvement Board to understand how scrutiny could assist the work of the Board without duplication.

Communities Select Committee

16. The Select Committee Chairman explained that a number of items scheduled on the forward work programme were statutory items, for example Regulation of Investigatory Powers Act (RIPA) and the annual Community Safety Partnership report.
17. The Committee welcomed the Select Committee Chairman's proposals to look at Surrey Fire and Rescue service (SFRS), in particular the impact that fire cover reconfiguration would have on communities. The Chairman of OBSC added that scrutiny of the effectiveness of the Emergency Services Collaboration Plan would add value.
18. The Vice-Chairman highlighted that savings for SFRS set out in the MTFP were all rated as amber, and that these would all have an impact on service delivery so it was suggested that the financials be reviewed in line with the Integrated Risk Management Plan. Members felt it was pertinent for the Chief Fire Officer to be invited to a Communities Select Committee meeting to discuss the implications of the Grenfell Tower Disaster on Surrey.
19. The Select Committee Chairman explained that scrutiny of Surrey Heritage would not add much value. It was however noted that the Surrey History Centre, amongst other venues, could be utilised more for income generation, and it was suggested that there could be scope for a future item regarding this to be considered by the Corporate Services Select Committee as property services falls within its remit.
20. The Select Committee Chairman was concerned about delays to the implementation of recommendations that derived from the latest peer review of the Library Service and would be keen to scrutinise this.
21. The Chairman of the Select Committee's role as Armed Forces Champion was recognised, but in reference to the Covenant other areas with financial implications should be prioritised for scrutiny.

Ayesha Azad entered the meeting at 11:50am

Environment & Infrastructure Select Committee (E&ISC)

22. The Committee agreed that it was sensible for the New Surrey Waste Local Plan to be scheduled for the October meeting of the E&ISC to allow for pre-decision scrutiny as it was scheduled to go to Cabinet shortly afterwards.
23. Members acknowledged that an item around the savings proposals for Community Recycling Centres was necessary, whilst Members also suggested that this would provide an opportunity for the Select Committee to look at the alternative options available to the council.
24. Members noted that the item on the long term sustainable management of Basingstoke Canal had been proposed to be dealt with by re-establishing the task and finish group. The Committee agreed this was a sensible approach given that this was scheduled to go to Cabinet in October 2017.
25. The Committee highlighted that there was no planned scrutiny of highways services in the proposed forward work programme for the select committee and suggested that this be reconsidered. Members also suggested that an item on the Thames Flood Alleviation scheme should be added to the forward work programme.
26. Members proposed some additional areas of scrutiny for E&ISC. These were scrutiny of the Carbon and Energy policy, the Transport for the South East (TfSE) partnership, the Crossrail 2 project which was due to go to public consultation in Spring 2018, airspace and runway changes, implications of the strategic housing initiative and impact on place development work.

Corporate Services Select Committee (CSSC)

27. The Chairman explained that she had received a letter from the Select Committee Chairman explaining that the CSSC was still in the process of formulating its proposed forward work programme and it would be sent to OBSC for approval by the end of July 2017.

Overview and Budget Scrutiny Committee (OBSC)

28. The Chairman informed the Committee that the items identified for OBSC to consider included Budget and business planning, Investment Strategy and Shareholder Board, Digital Strategy, Equalities and the cost implications of Place & Partnerships.

Recommendations:

The Committee agrees the forward plan proposals with the following comments:

As a general principle proposals for scrutiny work should consider the Cabinet Forward Plan and aim to programme items before a decision is taken.

All Select Committees should review their Directorate risk registers on a six monthly basis.

Adults and Health

- a) OBSC requests that the Chairmen of the Adults & Health Select Committee and Children & Education Select Committee work together to scope a joint piece of work investigating the transition, in particular those with learning disabilities, between children's services and adult social care; and
- b) Consideration is given to scrutiny of the 'Epsom and St. Helier 2020 – 2030' plans

Children and Education

- c) OBSC supports an in-depth examination of the Early Help project and a review of the strategy for Unaccompanied Asylum Seeking Children by the select committee
- d) Suggests clearer links are drawn between the proposed forward plan and the savings and service plans outlined in the MTFP
- e) Recommends that the Chairman discusses with the Chair of the Improvement Board how scrutiny can best complement the work of the Board and avoid duplication

Communities

- f) The Committee's interest in income generation at the Surrey History Centre and elsewhere could be coordinated with the Corporate Services Select Committee which has Property Services in its remit
- g) OBSC recommends that the Committee prioritise the key areas for change in the SFRS as identified in the MTFP and uses a Task & Finish methodology to scrutinise these
- h) The Committee should invite the Chief Fire Officer to a meeting to understand the implications of the Grenfell disaster on Surrey

Environment and Infrastructure

OBSC outlined a number of areas for the Committee to consider for scrutiny:

- i) An item on the Thames flood alleviation should be added to the forward plan
- j) The Committee should consider what scrutiny of highways services needs to be done
- k) Implications of the Strategic Housing initiative

- l) Annual scrutiny of the Carbon and Energy policy
- m) Impact of Place Development work
- n) Transport for the South East (TfSE) partnership
- o) Crossrail 2 consultation
- p) Aviation National Policy Statement

6 BUDGET SUB-GROUP TERMS OF REFERENCE [Item 7]

Declarations of interest:

None

Witnesses:

Nick Harrison, Chair of the Overview & Budget Scrutiny Committee's Budget Sub-Group
Ayesha Azad, Tim Evans and David Harmer- Members of the Budget Sub-Group

Key Points raised during the discussion:

1. The Chair of the OBSC Budget Sub-Group explained to the Committee that there had yet to be confirmation of what the budget planning process for next year's budget would look like and this would be communicated when the process had been agreed.
2. The Committee reviewed and agreed the Terms of Reference of the Sub-Group with one suggested minor amendment to remove the word core so to read 'The membership to be as follows:'
3. The Chairman confirmed that the OBSC Budget Sub-Group would be a standing item on OBSC agendas to allow for the Sub-Group to report back their findings to the Committee.

Charlotte Morley left the meeting at 12:45pm.

4. With regards to risk management, the Chair of the OBSC Budget Sub-Group proposed that individual select committees should review their relevant Directorate's Risk Register on a six monthly basis, whilst OBSC should review the Leadership Risk Register. This was agreed by the committee.

Recommendations:

- That individual Select Committees review Directorate Risk Registers under their remits on a six monthly basis.

7 MINUTES OF THE PREVIOUS MEETING: 27 MARCH 2017 [Item 2]

The minutes of the last meeting of the Committee's predecessor, Council Overview Board, on 27 March were agreed as a true record by Hazel Watson as she was in attendance at that meeting.

8 DATE OF NEXT MEETING [Item 8]

The next meeting of the Committee will be held on Thursday 14 September 2017 at 10:00am.

Meeting ended at: 12.52 pm

Chairman



Overview and Budget Scrutiny Committee 14 September 2017

Recommendation Tracker and Forward Work Programme

1. The Committee is asked to review its Recommendation Tracker and Forward Work Programme, and the Forward Work Programmes of the other Select Committees which are attached.

Recommendation:

That the Committee reviews the work programmes and its recommendations tracker and makes suggestions for additions or amendments as appropriate.

Next Steps:

The Board will review its work programme and recommendations tracker at each of its meetings.

Report contact: Ross Pike, Scrutiny Manager

Contact details: 020 8541 7368, ross.pike@surreycc.gov.uk

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Overview & Budget Scrutiny Committee

ACTIONS AND RECOMMENDATIONS TRACKER – UPDATED SEPTEMBER 2017.

The recommendations tracker allows Members to monitor responses, actions and outcomes against their recommendations or requests for further actions. The tracker is updated following each meeting. Once an action has been completed, it will be shaded out to indicate that it will be removed from the tracker at the next meeting. The next progress check will highlight to members where actions have not been dealt with.

Date of meeting and reference	Item	Recommendations/ Actions	To	Response
12 Jul 2017 R1	SELECT COMMITTEE FORWARD WORK PROGRAMMES	All Select Committees should review their directorate risk registers on a six-monthly basis.	Select Committee Chairmen	

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Overview and Budget Scrutiny Committee			
Topic	Scrutiny Method	Involvement of other committees	Expected outcome
Digital Strategy	Workshop, 14 September 2017	None	The Committee will review concepts for a new strategy, providing feedback and ideas.
Leadership Risk Register	Formal report, 14 September 2017	None	The Committee aims to seek assurance that all registered risks have risk management arrangements in place and identify future areas of focus.
Equalities- impact of service change and saving plans	Initial workshop, 14 September 2017	None	Members are satisfied that the policies and procedures for mitigating negative impacts to residents with protected characters are sound and utilised.
Budget and business planning	TBD	None	Scrutiny Members to input into Council's process for budget setting and provide feedback and challenge on the business plans
Investment Strategy and Shareholder Board	TBD	None	Review the scale and return of the Council's investments and the performance of the trading companies.
Economic Growth, including Local Enterprise Partnerships (LEPs)	TBD	None	Understand the strategies for ensuring the Council is supporting Surrey's economy and investigate the impact of LEP spending in the county.
Place and partnerships	TBD	None	Review the Council's partnerships with other organisations, how they are developed and what they deliver for residents. Understand what a place based approach to services might look like and how this can be applied across the public sector in Surrey.
<p>Committee groups: Budget Scrutiny sub-group: Meets monthly, with additional meetings if required. The group scrutinises service financial performance and budget management with regard to the savings plan outlined in the current MTFP and to review and contribute to preparations for next year's budget. The sub-group will report its activity, key findings and proposed recommendations at each meeting of the Overview and Budget Scrutiny Committee.</p>			

Adults and Health Select Committee			
Select Committee Topic	Scrutiny Method	Involvement of other committees	Expected outcome
Acute Mental Health Ward Relocation and future planning	Formal report, 4 September 2017	None	Assess the impact of the ward relocation in improving patient experience and safety, and plans for future acute ward provision in Surrey.
Sussex and East Surrey – “Commissioning for Change”	Formal report, 4 September 2017	None	Scrutinise plans for "Commissioning for Change" review, including expected timelines, approach to formal consultation and savings linked to delivery of the review. Scrutinise how the review will engage with other Surrey STPs in order to minimise regional variation for Surrey residents.
Sexual Health Services	Formal report, 4 September 2017	None	Review new arrangements for sexual health services in Surrey and assess the planned mobilisation of the contract on 30 September 2017.
Home-based Care	Formal report, 9 November 2017	None.	Adult Social Care will be recommissioning home-based care services in the autumn. The committee will review the plans to recommission, and investigate how the council is responding to the current pressures on providers created by market conditions.
Suicide Prevention Framework	Formal report, 9 November 2017	None	Review the suicide prevention framework, following a request from the House of Commons Health Select Committee. Explore what is being done to reduce suicides in the county (leading cause of death in 20-34

			year olds in the UK).
Accommodation with Care and Support	Formal report, January 2018	None	The Committee will review the next phase of the ASC accommodation with care and support project, following a Cabinet decision on the next phase in January 2018.
Surrey Heartlands	Task and finish group (Terms of Reference Attached)	None	The committee will need to consider how it reviews the Surrey Heartlands devolution proposal, and other strategic plans across the footprint. As this is an area of considerable strategic change, it may wish to consider a plan of ongoing engagement with the topic.
Demand management	To be handled by the Budget Sub-Group, 28 September 2017	None	The committee will review the plans to manage demand in ASC, which accounts for approximately £4 million of ASC savings in the MTFP and has been identified as a red risk.
Sustainability and Transformation Plan Progress	To be determined	None	The committee will need to maintain track on progress around the three STP footprints, and how this is impacting on the delivery and long term planning for social care and health. The committee will also need to consider how the three plans work together to mitigate risks of regional variation in health outcomes, and represent the best interests for Surrey residents.
Access to primary care and GP services	To be determined	None	This has been identified an area of interest by committee members. The committee will need to consider how it approaches scrutinising the item, and will use the summer to scope it and report back to the Council Overview and Budget Scrutiny Committee
<p>AHSC Committee groups: The SECamb regional sub-group is formally constituted and its terms of reference cover regional scrutiny of SECamb performance and improvement plans. The committee recommends that involvement in this group continues for the duration for 2017, as the CQC has recently re-inspected the Trust and expect to publish the results in September.</p> <p>*The Surrey Heartlands STP Task Group is in the process of being approved. Its terms of reference cover the Epsom estate, stroke review services and the devolution plans.</p>			

Children and Education Select Committee			
Topic	Scrutiny Method	Involvement of other committees	Expected outcome
SEND Written Statement of Action Task and Finish Group and Terms of Reference	Task and Finish group, to be set up on 6 September 2017	None	The Committee had identified SEND service provision as a major risk to the Council. Following the Ofsted/Care Quality Commission inspection in October 2017, the Committee would like to request a report on progress made against the Council's Written Statement of Action, and a view on the Council's position ahead of the expected re-inspection in late 2017. The Terms of Reference and Group structure of this Task and Finish Group is to be agreed 6 September 2017.
Performance Monitoring Member Reference Group scoping and Terms of Reference	Member Reference Group, to be set up on 6 September 2017	None	The Committee recognised performance monitoring as a key objective for the year and would like to establish a Member Reference Group to support regular scrutiny of performance from across the remit, and feedback to the main Committee at regular intervals. In discussion, areas of initial focus could be school improvement, Children Services, school governance arrangements in the new education landscape, and restraint records – record keeping and guidance. The Terms of Reference and Group structure of this Member Reference Group is to be agreed 6 September 2017.

Learning Disabilities and Transition Joint Task Group scoping and Terms of Reference	Joint Task Group to be set up on 6 September 2017 (Scoping Document attached)	In conjunction with Adults and Health Select Committee.	The Terms of Reference and Group structure of this Joint Task and Finish Group is to be agreed 6 September 2017.
Youth Services Audit Report	Formal report, 6 September 2017	None	To review the summary of audit findings and Management Action Plan produced as a result of an internal audit review of the Youth Services- Governance and Business Management Arrangements Follow up Audit.
Children and Adolescents Mental Health Services (CAMHS)	Formal report, 17 November 2017	None	It has been identified that the CAMHS contract holder has been subject of performance concerns regarding the delivery of contractual targets. The Committee is to receive a report to detail the issues faced by the service and note potential areas for improvement.
Short Breaks Recommissioning Action Plan	Formal report, 17 November 2017	None	The service recommissioned the providers for Short Breaks following a decision of Cabinet in July 2017. As a result of this change in service provision, the Committee has requested an update to ensure that service users affected by the changes are adequately served by the recommissioned package.
School place planning	Workshop, 17 November 2017	None	The Committee would like to receive a workshop on the current school place planning and forecasts; and explore with Officers the potential impacts on education provisions with regard to Local Plans in Surrey.
Unaccompanied Asylum Seeking Children	To be determined	None	Review of the Unaccompanied Asylum Seeking Children strategy.
Surrey Education in Partnership	To be determined	None	An overview of the progress made within the Surrey Education in Partnership Programme. Previous work by

			the Education and Skills Board highlighted areas of concern and risk. September 2017 was a milestone for implementing new initiatives with schools and stakeholders. The Committee would like to assess this implementation, the impacts made and how the programme intends to develop further.
Multi-agency Safeguarding Hub (MASH)	Site visit(s) and Workshop, date TBC	None	The Committee expressed that a site visit (either as a Committee or as individual Members), followed by a workshop would help develop an understanding of the MASH and the part it plays for Family Services. The Committee highlighted child sexual exploitation and missing children as initial areas of concern and focus.
Early Help	To be determined	None	Review of the new operational model.
CSF Directorate Risk Register	To be determined	None	Review of the CSF directorate Risk Register, as requested by OSBC, on a six-monthly basis.
Social Services Data Protection and risks	To be determined	Adults and Health Select Committee	The Committee identifies data protection of case files as a risk. The Committee would like to assess the Council's record keeping processes and procedures, and the steps taken to ensure the longevity and security of the records for the future.
Communication with target audiences	To be determined	Potentially in conjunction with the Corporate Services Select Committee	Members consider the methodology of communication with target audiences to be an historical weakness for some services within the Committee's remit. A joint approach, potentially in partnership with the Corporate Services Select Committee, could provide some insight into engagement practices, with an aim to identify and recommend the implementation of a "code of best practice" for the organisation.
Communities Select Committee			

Topic	Scrutiny Method	Involvement of other committees	Expected outcome
Surrey Fire and Rescue (SFRS) Member Reference Group scoping and Terms of Reference	Member Reference Group, to be set up on 7 September 2017.		The Committee understands that SFRS has many focused workstreams, both active and yet to begin. The MRG would cover the below items: <ul style="list-style-type: none"> • Integrated Risk Management Plan (IRMP) • Fire & Rescue Governance PCC takeover • Fire contingency cover • Immediate Response Vehicles (IRV) pilot scheme.
Surrey County Coroner's service: Transfer of employment of staff from Surrey Police to SCC	Formal report, 7 September 2017	None	Pre-decision scrutiny on the proposal to transfer the employment of 15 FTE posts from Surrey Police to Surrey County Council.
Fire cover in Spelthorne	Formal report, 7 September 2017	None	Pre-decision scrutiny on whether to open the Fordbridge fire station without an on-call appliance in addition to the whole-time appliance, taking the public consultation outcomes into account.
Surrey Fire & Rescue Service- Implications on Surrey following the Grenfell Tower disaster	Formal report, 7 September 2017	None	The Chief Fire Officer to attend the Committee meeting to detail implications on Surrey following the Grenfell Tower disaster.
Annual Scrutiny of Community Safety Partnerships	Formal report, 7 November 2017	None	Annual scrutiny of Community Safety Partnerships is a statutory function of the council. A formal report to the committee will fulfil this duty.
The council's use of RIPA (Regulation of Investigatory Powers Act)	Formal report, 7 November 2017	None	Annual scrutiny of RIPA is a statutory function of the council. A formal report to the committee will fulfil this duty.
Trading Standards	Formal report, 7 November 2017	None	The Committee is interested in the work of Trading Standards and their role in protecting the residents of Surrey and Buckinghamshire. Further scrutiny of the service and identification of additional income generation opportunities.
Customer Contact management	To be determined	Possibly in	Officers informed the Committee that a new Customer

system- Customer Services		conjunction with Corporate Services Select Committee	Contact Management System was to be implemented in 2017, joining existing customer services and highways defect databases together, enabling the provision of an improved quality service for residents when reporting highways defects and complaints. The Committee would like to review the success of this system with a view to how a similar approach could be rolled out to other Council service areas.
Armed Forces covenant	To be determined	None	The Committee is keen to further understand the work of the Military Covenant and its support for Surrey's military personnel. The Committee would aim to scrutinise the Covenant, assess its performance and look to identify ways to improve the Covenant's impacts to the Service personnel and veterans it supports.
Corporate Services Select Committee			
Topic	Scrutiny Method	Involvement of other committees	Expected outcome
Emergency Planning/Business Continuity/ Local Resilience*	Formal report, 4 October 2017	None	Scrutiny of existing arrangements to protect against and to deal with possible events such as cyberattacks, terrorist attacks, major fire incidents, motorway pile-up. The Committee will assess and seek assurances about Surrey County Council preparedness, when acting individually or as part of a multi-agency effort, to deal effectively with such potential events.
Agency staffing*	Formal report, 4 October 2017	None	Scrutiny of agency staff expenditure trends and plans for reducing numbers and delivering efficiencies through

			service centralisation
HR: The offer and the current HR strategy*	Formal Report, 4 October 2017	None	The Committee are to receive a report detailing the HR offer and the current strategy, covering absenteeism rates, training offered and workforce management. This will help the committee to better understand the HR functions and enable them to identify areas they wish to scrutinise over the coming year.
Orbis Revised Business plan*	Formal report, 6 December 2017	None	Scrutiny of the revised Business Plan, expected in Autumn 2017.
Orbis Managed on Behalf of (MoBo) Budgets*	Formal report, 6 December 2017	None	Scrutiny of the MoBo budgets for Surrey County Council, currently £52.3m, efficiency savings and how these impact on service delivery.
Property Services*	Interactive private workshop, end of October/ early November	None	Private meeting for Committee Members to receive a detailed briefing on the remit of Property Services including the recent agreement with CBRE and the appointment of a venture development partner. This workshop would also include discussion on the Strategic Asset Review.
*All items to include scrutiny of finance, performance and risk.			
Environment & Infrastructure Select Committee			
Topic	Scrutiny Method	Involvement of other committees	Expected outcome
Proposed changes to Surrey's Community Recycling Centres (CRCs)	Formal report, 7 September 2017	None	For the Select Committee to consider the savings proposals to CRC's before formal consideration at Cabinet.
Preparation of the new Surrey Waste Local Plan- draft plan consultation	Formal report, 5 October 2017	None	As part of preparing the new SWLP, members' input is required as part of preparing the plan this includes making sure officers have E&I SC's views on the Draft

			<p>Plan, and appropriate responses, before reporting to Cabinet. An MRG under the previous Scrutiny Board (EPEH) was also set up to help get member's views on the Equalities Impact Assessment and consultation process and to raise the profile of the new SWLP.</p> <p>The Issues and Options Consultation for the SWLP was brought to the Scrutiny Board in June 2016 for consideration and a summary of the responses was reported in January 2017.</p>
Smarter working for the environment: Policy Statement and Annual Progress report	Formal report, 5 October 2017	None	<p>To inform members of progress in the delivery of the 'Smarter Working for the Environment' Action Plan, which sets out how the council is taking an integrated, informed and pragmatic approach to environmental sustainability</p> <p>To provide political oversight of the council's progress towards environmental sustainability, following through with the commitment for select committee scrutiny as stated in the 'Smarter Working for the Environment' policy approved by Cabinet in 2016.</p> <p>It is not anticipated that this item will be taken to Cabinet.</p>
Basingstoke Canal Update	Formal report, 5 October 2017	None	<p>To make a recommendation to Cabinet on the sustainable future management solution for the Basingstoke Canal and make recommendations regarding the long term strategy and business objectives for the Canal.</p>
Introduction of vehicle charging on the Countryside estate	Formal report, 29 November 2017 (TBC)	None	<p>To scrutinise the potential introduction of parking charges across the Surrey Countryside estate.</p>
<p>Committee groups: Basingstoke Canal Task Group: To consider the most effective governance option for Surrey County Council in relation to the Basingstoke Canal of which the</p>			

council is a joint owner. Recommendations of this Task Group will enable the county council to decide whether they continue their involvement with the Basingstoke Canal or make changes to the current joint ownership model.

Countryside Management Member Reference Group: (Approved by OBSC Chairman in August)

To report to the Select Committee with recommendations to advise the Cabinet Member on the changes required to the Surrey Wildlife Trust (SWT)/Surrey County Council (SCC) Agreement and its governance, to ensure that it is fit for purpose for the remainder of its term. *The MRG meets on an ad hoc basis as and when the service requires support.*

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Surrey Heartlands Scrutiny Sub-group Terms of Reference

Purpose of the group

The sub-group will monitor the development of the Surrey Heartlands plans in 17/18, including;

- proposals for the Epsom and St Helier estate;
- stroke review plans for Surrey;
- the approach to public engagement;

It will report back publicly to the Adult and Health Select Committee on a regular basis.

The sub-group will act in line with the following principles:

- Locally accountable leadership and clear public reporting
- Early engagement and developing conversations
- Timeliness and flexible arrangements to enable discussions to take place without unnecessary adverse impact to partners.

This will ensure that this engagement is proportionate, and enables the Committee to remain involved with some of the transformational changes that underpin the STP as the public conversation develops. Items can be referred to a full Committee meeting if it is felt necessary.

The sub-group does not restrict or prevent the Adult and Health Select Committee exercising its health scrutiny powers as necessary.

Membership

The sub-group will be comprised of four representatives from the Adults and Health Select Committee.

Appointments and terminations will be made by the Adults and Health Select Committee Chairman.

Members are expected to abide by the council's code of conduct.

The sub-group will elect a Chairman.

Regularity of meetings, quorum and access to papers

The sub-group will meet once every two months. A quorum of half the membership of the sub-group will be required.

Meetings will be held in public unless there are specific items that would be considered “exempt” as set out in the council’s constitution.

Papers will be made available at least five days prior to the meeting and these will be circulated to the Adults and Health Select Committee.

Out of scope

The sub-group will principally focus on the development of Surrey Heartlands plans, the future of the Epsom estate, and the reconfiguration of stroke services across the Heartlands area.

It will review whether these remain the priority areas for Surrey Heartlands by January 2018, in consultation with the Committee and the Chairman of the Overview and Budget Scrutiny Committee.

Any substantial variation proposed by the Trust will need to be considered by the relevant health scrutiny committee(s), in line with national regulations and local processes.

Review

The sub-group will review its purpose and activity after 6 months, with an extension of its activities requiring agreement of the Chairman of the Overview and Budget Scrutiny Committee.

Officer support

Officer support will be provided by the Scrutiny team, Democratic Services.



Overview and Budget Scrutiny Committee

14th September 2017

Leadership Risk Register.

Purpose of report:

This report provides members with an overview of the council's risk management arrangements and presents the Leadership risk register as at 31st August 2017.

Introduction:

1. Sound risk management policy and practice should be firmly embedded within the culture of the council, providing a proportionate and effective mechanism for the identification, assessment and, where appropriate, management of risk. This is especially important in the current climate where there remains considerable uncertainty about the future.
2. Robust risk management helps to improve internal control and support better decision-making, through a good understanding of individual risks and an overall risk profile that exists at a particular time. To be truly effective, risk management arrangements should complement, rather than duplicate, other management activities.
3. The Overview & Budget Select Committee recommended at its July 2017 meeting that individual select committees should review and monitor, as appropriate, the directorate risk registers that fall under their remits.

Risk Governance arrangements:

4. The Director of Finance is the council's strategic lead for risk management and provides monthly risk updates to the Statutory Responsibilities Network (SRN) and on an ad hoc basis to the Chief Executive's Direct Reports (CEDR). These risk updates include proposed changes to the Leadership risk register, emerging risks and other updates such as the risk management strategy.
5. The Strategic Risk Forum (SRF), chaired by the Director of Finance, meets bi-monthly and leads on developing the council's risk culture and reviews strategic risks through challenge and moderation. Membership consists of directorate strategic risk leads, the Risk Manager and representatives from Internal Audit and the Emergency Management team.
6. The council has three levels of risk register:

- Leadership risk register – owned by the Chief Executive, each risk is assessed as ‘high’, ‘medium’ or, ‘low’ for both inherent and residual risk levels using strategic risk assessment criteria.
- Strategic risk registers – each directorate has a risk register owned by the Strategic Director, each risk is assessed as ‘high’, ‘medium’ or, ‘low’ for both inherent and residual risk levels using strategic risk assessment criteria.
- Operational risk registers – each service has a risk register, owned by the Head of Service, each risk is assessed by impact (financial, service and reputation) and likelihood to create a total risk score shown as red, amber or green.

7. All risk registers are available to view on the council’s intranet.

8. Clear and transparent risk reporting enables informed and effective decision-making. The table below provides an overview of the monitoring and reporting of risk across the council:

	Service risk register	Directorate risk register	Leadership risk register
Risk co-ordinator	Service risk representative	Strategic risk lead	Risk Manager
Frequency of risk register review	Monthly where necessary but at least quarterly	Monthly	Monthly
Monitoring, assurance and accountability	Head of Service / Director 1-2-1 Service management team CRRF meetings	Director / Chief Executive 1-2-1 Directorate management team SRF meetings	SRN Leadership Team SRF meetings Director / Chief Executive 1-2-1
	Cabinet / Audit and Governance Committee / Scrutiny Committees Internal Audit Risk Manager		
Escalation of risk	Cross-directorate Cross-council High impact Significant project or programme	→ Cross-council Corporate Strategy High residual risk level	→

9. Risk owners and co-ordinators are responsible for ensuring that risks are escalated as appropriate through the risk governance arrangements outlined above. Some risks may be more appropriately managed at a service or directorate level and therefore may not necessarily require escalation to the next level of risk register.

10. As part of the Orbis Shared service agreement, the risk management function at Surrey County Council is currently mainly being provided by the Risk manager from East Sussex County Council, while the SCC Risk manager is on temporary secondment.

Risk Management Strategy and Plan:

11. The risk management strategy clearly sets out the council’s risk management approach. The risk management strategy is supplemented by the risk management

plan, which outlines the risk governance arrangements, specific roles and responsibilities and the key risk actions for the year.

12. The Audit and Governance Committee receive 6-monthly update reports on the council's risk management arrangements and approve the risk management strategy and plan annually. The 2017-20 risk management strategy and the risk management plan for 2017-18 is attached at Annex 1.

Leadership risk register:

13. The Leadership risk register (Annex 2) is owned by the Chief Executive and captures the council's key strategic risks. The risk register focuses specifically on the strategic risks facing the council as it strives to fulfil its purpose to ensure Surrey residents remain healthy, safe and confident about their future.
14. The risk register currently (August 2017) has seven risks, split into two sections:
 - Strategic risks (L1 to L3) – risks that have the potential to significantly disrupt the organisation; and
 - Cross-cutting risks (L4 to L7) – high level risks that can be mitigated more effectively through cross-working.
15. The leadership risk register is presented to the Audit and Governance Committee at each meeting and to the Cabinet on a quarterly basis.
16. The directorate risk registers continue to be regularly reviewed and updated and are discussed at each SRF. Emerging strategic risks and, if appropriate, escalation of residually high level directorate risks, are taken to SRN for discussion and possible inclusion on the Leadership risk register.
17. The Leadership risk register includes both the inherent and residual risk levels for each risk. Inherent risk is the level of risk before any control activities are applied. The residual risk level takes into account the controls that are already in place, detailed on the risk register as both 'processes in place' and 'controls.'

Recommendations:

18. The committee are asked to note the risk governance arrangements in place, to scrutinise the risks and mitigation actions detailed on the Leadership risk register and comment as appropriate.

Report contact: Rawdon Phillips : Risk Manager
Cath Edwards : Risk & Governance Manager

Contact details: rawdon.phillips@eastsussex.gov.uk Tele : 01273481593
cath.edwards@surreycc.gov.uk Tele : 020 8541 9193

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PURPOSE

To realise opportunities and manage exposures to ensure Surrey residents remain healthy, safe and confident about their future.

VISION

A risk culture that supports

ONE place

ONE budget

ONE team for Surrey

VALUES



Listen



Responsibility



Trust

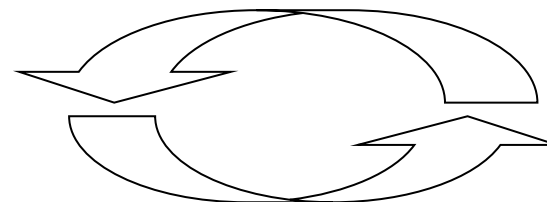


Respect

Context

The demand for council services continues to grow while financial resources are decreasing. Effective risk management is an integral part of ensuring the continued delivery of our services and providing organisational resilience during major change and transformation.

This Risk Management Strategy supports the achievement of our key priorities, goals and service delivery to residents. It is supplemented by our risk management plan that sets out our key risk actions for the coming year.



INTEGRATED APPROACH:

Risks are continually discussed and considered in the context of financial and performance management.

RISK PROCESS:

We have a consistent, iterative process of risk identification, risk assessment, risk monitoring and reporting.

GOVERNANCE:

Risk management roles and responsibilities are clearly defined and regularly reviewed.

Our strategic approach to risk management

1. Principles

Our approach to risk management is built on the following principles:

- It is dynamic, iterative and reacts to change
- It is open, transparent and consistently applied
- It provides risk information that objectively informs decision making and creates value
- It is integrated into our processes and aligns with our objectives
- It ensures lessons are learnt and actions for improvement are identified and implemented

2. Benefits

Through our risk management approach, the following benefits are realised:

- Enhanced organisational resilience through facilitating continuous improvement and innovation
- Stakeholder confidence and trust
- Flexibility to positively respond to new and continued pressures and challenges
- Strengthened governance to enable informed decision making
- Proactive management of risk and opportunities

3. Realisation

Realisation of the principles and benefits will be achieved through:

- Strong risk leadership that ensures the effective operation of the council's risk approach and arrangements
- Consistent compliance with the risk strategy and framework
- Staff and members being equipped to work with and support the risk culture
- Clear communication of the council's risk approach to our stakeholders
- Strong and transparent risk governance arrangements, including reporting and escalation of risk

To realise opportunities and manage exposures to ensure Surrey residents remain healthy, safe and confident about their future.

Challenges and opportunities

The ongoing climate of funding reductions, demand increases and changing responsibilities for Local Government continues to bring significant risk as well as opportunities. Sustaining the council's strong organisational resilience will require working differently, effectively managing our risks and realising the opportunities identified by new ways of working.

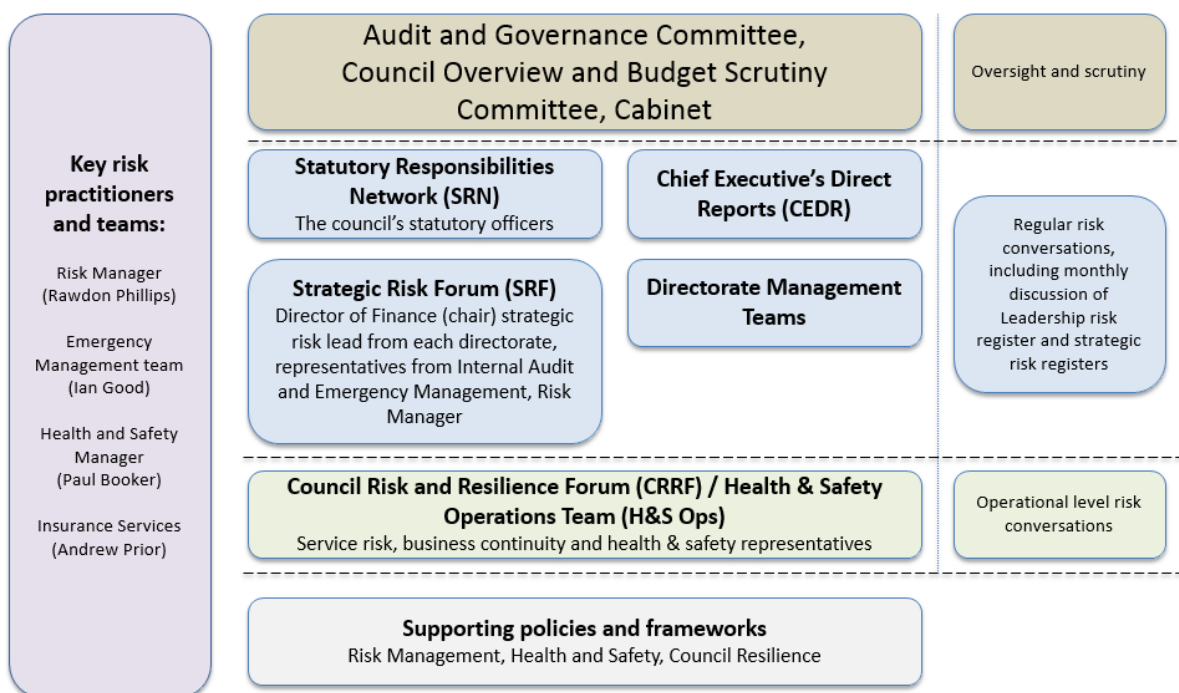
Risk management is a continuous and evolving process that runs through everything we do. Continually identifying and managing risks and opportunities increases the probability of success and supports the achievement of our goals and priorities.

Key actions

During 2017/18 three risk management actions will be prioritised to support the achievement of the council's corporate strategy:

1. Continue to ensure the risk management arrangements are fit for purpose and support new ways of working.
2. Continue to moderate, challenge and present risk information in a clear and transparent way across the organisation.
3. Investigate the strengthening of links between Risk Management and Internal Audit to improve programme and project reviews. Also improve links between Risk Management and Business Continuity with particular reference to consistency of risk registers.

Risk governance



The strategic lead officer for the corporate risk management arrangements is Sheila Little, Director of Finance and she is supported by Rawdon Phillips, Risk Manager.

The Audit and Governance Committee is responsible for monitoring the effectiveness of the risk management arrangements.

Roles and responsibilities

ROLE	RESPONSIBILITIES
The Cabinet	Oversee effective risk management across the council and ensure that key risks are identified, managed and monitored.
Portfolio Holders	Ensure that key risks within their portfolio are effectively managed through discussions with senior officers. Contribute to the Cabinet review of risk and be proactive in raising risks from the wider Surrey area and community if appropriate.
Scrutiny Boards	Monitor and challenge key risk controls and actions.
Audit and Governance Committee	Provide independent assurance to the council on the effectiveness of the risk management arrangements. Annually approve the risk management strategy and plan.
Leadership Team	Ensure effective implementation, monitoring and review of the council's risk management arrangements. Identify, own and manage key risks facing the council.
Strategic Directors	Own their risk register and regularly identify, prioritise and control risks as part of wider council performance. Ensure that risk management is consistently implemented in line with the council's Risk Management Strategy and proactively discuss risk with senior officers and members.
Heads of Service	Own their risk register and regularly identify, prioritise and control risks as part of wider council performance. Challenge risk owners and review actions to ensure controls are in place and monitored. Support and have a regular dialogue with risk representatives and ensure that risk management is consistently implemented in line with the council's Risk Management Strategy.
Managers	Take ownership for actions and report progress to management. Co-operate and liaise with risk representatives and report any new or emerging risks.
Staff	Assess and manage risks effectively and report risks to management.
Risk Manager	Lead on the implementation of the risk management arrangements, including moderating and challenging risk across the organisation and providing training and communication. Centrally hold and publish all council risk registers and facilitate the review and challenge of the Leadership risk register.
Strategic Risk Forum	Review strategic risk through challenge and moderation and make recommendations to senior management on changes to the corporate risk arrangements and strategic risks. Identify and escalate common themes and issues through sharing learning and best practice.
Risk representatives	Embed and aid understanding of risk across the council and support management with the review of risk, including the risk register, as part of performance monitoring.
Internal Audit team	Annually audit the council's risk management arrangements and use risk information to inform the annual internal audit plan to ensure that internal controls are robust.

Review

The Risk Management Strategy and plan is reviewed annually. For any queries or comments on this document please contact Rawdon Phillips, Risk Manager.

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Annex 2: Leadership risk register as at 31 August 2017 (covers rolling 12 months)

Owner: David McNulty

Strategic risks – have the potential to significantly disrupt or destroy the organisation

Ref	Risk ref.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)
L1	CSF7 EAI1 FN1 ORB10	Financial outlook Further reductions in funding, due to constraints in the ability to raise local funding and/or distribution of funding, results in significant adverse long term consequences for sustainability and service reductions leading to significant implications for residents.	High	<ul style="list-style-type: none"> Structured approach to ensuring Government understands the council's Council Tax strategy and unsustainable impact of current funding mechanism. Targeted focus with Government to secure a greater share of funding for specific demand led pressures (in particular Adult Social Care). Proactive engagement with Government departments to influence core Government policy direction (specific areas to be developed as Government priorities become clear). Continued horizon scanning of the financial implications of existing and future Government policy changes. Development of alternative / new sources of funding (e.g. bidding for grants). Cabinet Members induction programme to ensure continuity of informed decision making and service delivery. New Members induction programme in place (May to July) to introduce them to the council and thereby facilitate informed decision making. <p>Notwithstanding actions above, there is a significant risk of Central Government policy changes /austerity measures due to changes in ministerial responsibilities impacting on the council's long term financial sustainability.</p>	<ul style="list-style-type: none"> Members make decisions to stop new spending, reduce spending and or generate alternative sources of funding, where necessary, in a timely manner. Officers unable to recommend MTFP unless a credible sustainable budget is proposed. Members proactively take the opportunities to influence central Government. Officers continue to analyse events and create budget scenarios. The council uses external expertise to confirm the facts relating to its sustainability. The council pro-actively seek to participate in consultations and other opportunities to engage with Government as it develop future funding policies. 	Director of Finance	High

Key to references:

ASC = Adult Social Care risk

CSF = Children, Schools and Families risk

C&C = Customers and Communities risk

EAI = Environment and Infrastructure risk

FN = Finance Service risk

ORB = Orbis risk

Annex 2: Leadership risk register as at 31 August 2017 (covers rolling 12 months) Owner: David McNulty

Ref	Risk ref.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)
L2	CSF3,4,9	<p>Safeguarding – Children’s Services</p> <p>Avoidable failure in Children's Services, through action or inaction, including child sexual exploitation, leads to serious harm, death or a major impact on well being.</p>	High	<ul style="list-style-type: none"> Working within the frameworks established by the Children's Safeguarding Board and the Social Care Services Board ensures the council's policies and procedures are up to date and based on good practice. The Adult Social Care and Children, Schools and Families Multi-Agency Safeguarding Hub went live on 5 October 2016 facilitating the sharing of good practice. The Children's Services Improvement Plan was refreshed in October 2016 and is being delivered to address the improvement notice dated 26 January 2016 and strengthen service and whole system capability and capacity. Ofsted visit on a quarterly basis to monitor progress. Assistant Director roles and responsibilities have been reshaped to strengthen leadership and governance. Appointees are now all in place. 	<ul style="list-style-type: none"> Timely interventions by well recruited, trained, supervised and managed professionals ensures appropriate actions are taken to safeguard and promote the wellbeing of children in Surrey. Actively respond to feedback from regulators. Robust quality assurance and management systems in place to identify and implement any key areas of learning so safeguarding practice can be improved. The Children's Safeguarding board (chaired by an independent person) comprises senior managers from the County Council and other agencies facilitating prompt decision making and ensuring best practice. An Improvement Board (chaired by the Deputy Leader) oversees progress on the Improvement Plan and agrees areas of action as required. 	Deputy Chief Executive and Strategic Director of Children's Schools and Families	High
L3	ASC6,7,13,14	<p>Safeguarding – Adult Social Care</p> <p>Avoidable failure in Adult Social Care, through action or inaction, leads to serious</p>	High	<ul style="list-style-type: none"> Working within the framework established by the Surrey Safeguarding Adults Board ensures that the council's policies and procedures are up to date and based on good practice. 	<ul style="list-style-type: none"> Continue to work with the Independent Chair of the Surrey Safeguarding Adults Board to ensure feedback and 	Strategic Director of Adult Social Care & Public Health	High

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Annex 2: Leadership risk register as at 31 August 2017 (covers rolling 12 months) Owner: David McNulty

Ref	Risk ref.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)
		harm, death or a major impact on wellbeing.		<ul style="list-style-type: none"> The Adult Social Care and Children, Schools and Families Multi Agency Safeguarding Hub went live on 5 October 2016 facilitating the sharing of good practice. Established a locality safeguarding advisor to assure quality control. Strong leadership, including close involvement by Associate Cabinet Member for Adult Social Care in safeguarding functions. 	recommendations from case reviews are used to inform learning and social work practice. <ul style="list-style-type: none"> Actively respond to feedback from regulators. One year on from the implementation of the Care Act, a new strategic plan for safeguarding within ASC will be implemented. 		

Cross cutting risks – high level risks that can be mitigated more effectively through cross working.

Ref	Risk ref.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)
L4	ASC1,2,12,16,17 C&C4 CSF1,2,7 EAI1,3 FN2 ORB01,10	<p>Medium Term Financial Plan (MTFP) 2017-20 Failure to achieve the MTFP, which could be a result of:</p> <ul style="list-style-type: none"> Not achieving savings Additional service demand and/or Over optimistic funding levels. <p>As a consequence, lowers the council's financial resilience and could lead to adverse long term</p>	High	<ul style="list-style-type: none"> Monthly reporting to Continuous Improvement and Productivity Network and Cabinet on the forecast outturn position is clear about the impacts on future years and enables prompt management action (that will be discussed informally with Cabinet). Weekly review of the in year financial position at Chief Executives Direct Reports meeting and strong focus on development of plans for delivery of the 2017/18 service efficiencies and reductions – to enable early management action as relevant. Budget planning discussions held with Cabinet and Select Committees. Early conversations are undertaken with all 	<ul style="list-style-type: none"> Prompt management action taken by Directors / Leadership Teams to identify correcting actions for any in year overspends or failure to deliver service reductions (evidenced by robust action plans). Members (Council, Cabinet, Select Committees) make the necessary decisions to implement action plans in a timely manner. Members have all the relevant information to make necessary decisions. 	Director of Finance	High

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Annex 2: Leadership risk register as at 31 August 2017 (covers rolling 12 months) Owner: David McNulty

Ref	Risk ref.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)
		consequences for services if Members fail to take necessary decisions.		<p>relevant stakeholders to ensure consultations about service changes are effective and completed in a timely manner (savings tracker developed for use during 2017/18 to identify necessary consultations, milestones, Equality Impact Assessments).</p> <ul style="list-style-type: none"> • Cross service networking and timely escalation of issues to ensure lawfulness and good governance. • Increased challenge and rigour on cost control. • Chief Executive's Direct Reports meeting agreement to focus capacity on three key priorities – information management in CSF, health and social care integration and assets. • Cabinet Members induction programme to ensure continuity of informed decision making and service delivery. • New Members induction programme in place (May to July) to introduce them to the council and thereby facilitate informed decision making. • Significant focus on income generating activities through an enlarged property investment programme and the optimisation of the existing property assets. 			
L5	ASC2, 16 CSF1,2, 5,6,8 ORB01, 02,07, EMT3, 12, EA13	New ways of working Failure to work effectively as part of a multi-agency system leads to severe service disruption and reputational damage.	High	<ul style="list-style-type: none"> • Shared and aligned strategies to ensure no unintended consequences. • Robust governance arrangements (eg. Inter Authority Agreements, Health and Social Care Integration Board, Health and Wellbeing Board, financial governance framework) in place with early warning mechanisms. • Regular monitoring of progress and risks against transformation programmes within 	<ul style="list-style-type: none"> - Leadership and managers recognise the importance of building and sustaining good working relationships with key stakeholders and having early discussions if these falter. - Work with Clinical Commissioning Groups on models of integrated care. 	Chief Executive	Medium

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Annex 2: Leadership risk register as at 31 August 2017 (covers rolling 12 months) Owner: David McNulty

Ref	Risk ref.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)
				each transformation board. <ul style="list-style-type: none"> • Effective transition arrangements with continuous stakeholder engagement. • Continuous focus on building and maintaining strong relationships with partners through regular formal and informal dialogue. • Close liaison and communication with customers. 	- Members continue to endorse approaches to integration across the council.		
L6	ASC4, 5,8 CSF5 EAI2, 3,4 ORB 02,03, 08 LD6 EMT1, 10,11	Organisational resilience Failure for the organisation as a whole to plan for and/or respond effectively to a significant event and or strains on workforce capacity or resilience, results in severe and prolonged service disruption and loss of trust in the organisation.	High	<ul style="list-style-type: none"> • Developing an employment framework that supports flexibility in service delivery and organisational resilience. • Robust governance framework (including codes of conduct, IT cyber resilience and information assurance policies, health and safety policies, complaints tracking). • Information Governance Board monitors information governance requirements and changes and reviews information governance risks. • Review of third party information governance risks. • External risks are regularly assessed through the Local Resilience Forum and reviewed by the Statutory Responsibilities Network. • Active learning by senior leaders from external experiences / incidents informs continual improvement within the council. • Close working between key services and the Emergency Management Team to proactively update and communicate business continuity plans and share learning. • High Performance Development Programme in place to increase skills, resilience and effectiveness of leaders. 	- Statutory Responsibilities Network review business continuity plans at least twice annually. - Regular monitoring of effectiveness of processes is in place and improvements continually made and communicated as a result of learning. - Robust change management processes. - Member induction programme delivered between May and July 2017 to ensure new Members learn quickly about the challenges facing the county and be in a position to make key decisions. - Senior management annual assurance statement provides assurance that business continuity is well planned and staff are all aware.	Chief Executive	Medium

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Ref	Risk ref.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)
				<ul style="list-style-type: none"> • Career conversations built into appraisal process looking forward five years • Shaping leaders programme in place. 			
L7		<p>Senior Leadership Succession Planning A significant number of senior leaders leave the organisation within a short space of time and cannot be replaced effectively resulting in a reduction in the ability to deliver services to the level required.</p>	Medium	<ul style="list-style-type: none"> • Enhance distributed leadership by focus on organisational goals and scorecard for organisational performance. • Workforce planning linked to business continuity plans. • Senior leadership appraisal process incorporates feedback (shaping leaders) and succession planning into appraisal process. 	- Transparent and effective succession plans.	Chief Executive	Medium

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Movement of risks

Ref	Risk	Date added	Inherent risk level when added	Movement in residual risk level		Current residual risk level
L1	Financial outlook	Aug 12	High	Jan 16	↑	High
L2	Safeguarding – Children’s Services	May 10	High	Jan 15	↑	High
L3	Safeguarding – Adult Social Care	May 10	High	Jan 15	↑	High
L4	Medium Term Financial Plan	Aug 12	High	-	-	High
L5	New ways of working	Jan 16	High	-	-	Medium
L6	Organisational resilience	May 10	High	Aug 12	↓	Medium
L7	Senior Leadership Succession Planning	Mar 15	High	Nov 16	↑	Medium

Risks recently removed from the register

Risk	Date added	Date removed
<i>National policy development</i>	<i>Feb 13</i>	<i>Jan 16</i>
<i>Waste</i>	<i>May 10</i>	<i>Jan 16</i>
<i>Comprehensive Spending Review 2015</i>	<i>Sept 14</i>	<i>Jan 16</i>
<i>Reputation</i>	<i>Oct 14</i>	<i>Jan 16</i>
<i>Staff resilience</i>	<i>May 10</i>	<i>Jan 16</i>
<i>Information governance</i>	<i>Dec 10</i>	<i>Jan 16</i>
<i>Supply chain / contractor resilience</i>	<i>Jan 14</i>	<i>Jan 16</i>
<i>Strategic Infrastructure</i>	<i>Jan 16</i>	<i>Aug 17</i>

Leadership level risk assessment criteria

Due to their significance, the risks on the Leadership risk register are assessed on their inherent risk level (no controls) and their residual risk level (after existing controls have been taken into account) by high, medium or low.

Risk level	Financial impact	Reputational impact	Performance impact	Likelihood
	<i>(% of council budget)</i>	<i>(Stakeholder interest)</i>	<i>(Impact on priorities)</i>	
Low	< 1%	Loss of confidence and trust in the council felt by a small group or within a small geographical area	Minor impact or disruption to the achievement of one or more strategic / directorate priorities	Remote / low probability
Medium	1 – 10%	A sustained general loss of confidence and trust in the council within the local community	Moderate impact or disruption to the achievement of one or more strategic / directorate priorities	Possible / medium probability
High	10 – 20%	A major loss of confidence and trust in the council within the local community and wider with national interest	Major impact or disruption to the achievement of one or more strategic / directorate priorities	Almost certain / highly probable



Overview and Budget Scrutiny Committee

14 September 2017

Budget Sub-Group Report June – July 2017

Purpose of report: Scrutiny of Budgets

Introduction:

1. The Overview and Scrutiny Committee set up a Budget Sub-Group at its 16 July 2017 meeting. The Sub-Group, chaired by Nick Harrison with membership from Ayesha Azad, Tim Evans and David Harmer, has been tasked with undertaking council-wide budget scrutiny.
2. The Sub-Group has so far met twice with the Deputy Chief Finance Officer to review budget monitoring data, the CIPFA report on the council's financial resilience and to revisit the 2016/17 Sustainability Review Board recommendations.

Activity

Budget Monitoring

3. Since its formation the Sub-Group has met on two occasions in June and July to review the May and June budget monitoring reports. A summary of the group's work is outlined below.
4. At this first meeting Members noted the headline budget issues; namely a forecast £24m overspend (including £9m of unidentified savings, £7m of savings considered unachievable and £11m service pressures). The Sub-Group identified 'red' (high risk of non-delivery) and 'black' (forecast not likely to be achieved) 2017/18 efficiencies risk ratings for further investigation and to review what actions were planned to mitigate these.
5. In July, the Sub-Group reviewed all of the 'red' and 'black' rated efficiencies with the Deputy Chief Finance Officer providing reasoning for each rating.
6. Members queried the reasons behind unforeseen demand on Children's Services and how Adult Social Care would achieve the forecast spending with no variances given the demand for its services. It was decided that sessions focusing on these two Directorates should be arranged for September and October.
7. The timeline for the budget planning process was discussed and the Sub-Group underlined the need for urgency in identifying the £29m gap in the Council's savings plans and detail on any use of reserves to meet this gap this year and in 2018/19.

Sustainability Review Board Recommendations

8. The Sub-Group revisited the suggested actions from the Sustainability Review Board that reported to Cabinet on 28 March 2017.
9. Benchmarking: this is currently being worked on to enable the Council to benchmark itself against other local authorities. A new benchmarking tool will assist with this.
10. Place-based approach: the Strategic Director for Environment and Infrastructure is leading a pilot on this around waste services, with a view to the place-based philosophy being adopted in other service areas.
11. Communications savings: these were taken forward and have been achieved, although a review could potentially identify further areas for savings.
12. IT projects with critical business need: progress not known.
13. Staffing levels: services are holding vacancies as a way of delivering savings, however it is worth recognising that reducing staffing levels in some areas will impact on service delivery.
14. Income generation: Select Committees could review all service charges. Members of the sub-group suggested exploring opportunities to generate further income through joint ventures particularly with regard to waste processing.
15. Care and support: this is an ongoing project, the Cabinet Member for Adults has been trying to drive the accommodation solutions forward. However, there is a problem with revenue and lack of funding for such accommodation. Options include partnering with a private sector provider through a tender or bringing care homes back in-house and adapted them to deliver the care and support plan.

Conclusions

16. The Sub-Group wrote a letter (Annexe 1) to the Leader of the Council to highlight a number of 'at risk' efficiencies and other areas of concern. The letter further recommended a number of actions to make savings.

Recommendations:

17. That the Committee review the activity of the Sub-Group and its next steps providing feedback on the approach taken so far and to suggest any future areas of focus for budget scrutiny.

Next steps:

- The Sub-Group will meet with representatives from Adult Social Care & Public Health on September 28 and Children, Schools and Families on October 12 to review savings plans and any potential service changes. These meetings will involve the Chairmen of the Adults & Health Select Committee and the Children & Education Select Committee.

- The Sub-Group will continue to scrutinise council budgets and savings plans and will provide an update to this Committee at its next meeting of 16 November 2017.
 - Receive a response from the Leader of the Council on the issues raised in its letter of 1 August 2017.
-

Report contact: Ross Pike, Scrutiny Manager, Democratic Services

Contact details: 0208 5419 122 / ross.pike@surreycc.gov.uk

Dear David,

1 August 2017

The Budget Sub-Group, comprising Ayesha Azad, Tim Evans, David Harmer and myself met with officers on 25 July, and we agreed to raise some concerns with you. I briefed you verbally later that day.

Our concerns are as follows:

The July monthly budget monitoring report shows limited progress in the month in reducing the £24m overspend forecast revenue budget outturn for 2017/18. We wish to emphasise the need for urgency in realising this year's savings, as we are now one-third through the financial year. We were told that officers are working on the problems and seeking alternative approaches where savings are now considered unachievable, but no details were forthcoming from the finance team.

When and how will the additional savings to close this year's budget gap totalling £9m be identified? The view of the Budget Sub-Group is that this must be tackled immediately to mitigate the risk of further overspends. The earlier these additional savings can be identified, the earlier consultation can begin, giving the Council the chance to realise savings in 2017/18 and reduce the likelihood of further use of reserves.

Last year the Council set up a "star chamber" of the Chief Executive and Chief Finance Officer to oversee the savings programme. We ask that an appropriate senior officer focus group is established this year to lead efforts. With the upcoming retirement of the Chief Executive and the Chief Finance Officer's broader focus on Orbis matters, leadership resources are thinner and this may have to be set up differently this year.

In relation to the budget for 2018/19, we suggest as a matter of urgency that the Leader and Cabinet need to decide how the extra £20m unidentified savings are divided up and allocated, and whether this should take a pro-rata approach or by service prioritisation. This will help Services focus on their budget targets for 2018/19.

We suggest the Leader and Cabinet ask officers to revisit the recommendations of the Sustainability Review Board (SRB). Besides specific savings recommendations which were dealt with by the Cabinet at their March meeting, the SRB recommended the Cabinet asks the Chief Finance Officer to consider options to increase the council's benchmarking capacity, and to commission further work on high priority themes identified by the SRB, to commence immediately.

The Budget Sub-Group looked in greater detail at the "Black" (savings forecast as now unachievable) and "Red" (high risk of non-delivery) variances - see attached paper. We comment as follows:

- Early Help is developing a new operational model, and there have been delays to get the offer "right" for Surrey, and £2.6m is judged now as black. We realise this is early days but the Budget Sub-Group find it difficult to understand quite how the new model will work and how these savings will eventually be realised.
- Children's Services is experiencing exceptional demand - both the cost of placements and volumes. We ask if better forecasting and service standards cannot

be developed, as the variances emerged quite soon after detailed budgets were set in March.

- Adult Social Care is forecasting on budget with no variances overall. However, we are aware there are red risks with whole systems demand management and personalised strategic shift for people with disabilities. This is by far the biggest budget for the council, and we find it surprising that some underlying variances - even ones offsetting each other - have not yet emerged.

Regards,

Cllr Nick Harrison
Chair of the Budget Sub-Group

RESPONSE

Dear Nick,

5 September 2017

Thank you for your email following the Overview and Budget Scrutiny Committee's sub group meeting in July. I consider it very important that members, via the Sub Group, do scrutinise the monthly budget monitoring.

Since your Sub Group's meeting, the July budget monitoring and forecasting has been completed and shared with Cabinet. However, I have attached the report for your information. This shows a small total improvement in the forecast outturn to £23m overspending. However, there are a number of off-setting changes that lead to this. Chiefly amongst these are Adult Social Care now forecasting an overspending of just under £1m, offset by marginally higher underspends across a range of other services. This report addresses your comments on Adult Social Care savings. The service will be attending the Sub Group in the near future to discuss their budget in more detail. Similarly, Children, Schools and Families will be attending the Sub Group in October and will be explaining the Early Help model and the forecasting of Children's Services demand.

To mitigate the impact of savings shortfalls and service pressures, services are seeking alternative savings and cost reductions; and looking to delay expenditure where possible while Cabinet develops a recovery plan. The Cabinet will be focusing on this recovery plan and developing a strategy for the next Medium Term Financial Plan (MTFP) period in its informal meetings in September. The Council does need to take a long term approach to transforming its services to become sustainable. Key to this is not making short term decisions that may either make the situation worse, or prevent longer term transformation occurring. The Cabinet will be reviewing actions to achieve a balanced budget in the current year, and in 2018/19 in the light of these principles.

When the Cabinet considered the savings proposals of the Sustainability Review Board in March, and approved those that were achievable in the current financial year, it did so on the basis that it would look again at these proposals in developing the 2018/19 budget. In developing the new MTFP the Cabinet will be making greater

use of benchmarking and to this end the Chief Finance Officer is in the process of increasing capacity to do this through CIPFA's CFO Insights tool.

Thank you once again for your group's work on this, and I look forward to further comments in future months.

Regards,

David Hodge CBE
Leader of the Council



Overview & Budget Scrutiny Committee

14 September 2017

TASK GROUP SCOPING REPORT

- 1 Select Committees wishing to establish task groups are required to complete a scoping report, which sets out details of the task group's objectives, proposed timescales, the resources required, and sources of information. Prior to work commencing on reviews, the scoping reports are submitted to the Overview & Budget Scrutiny Committee for consideration, so that any links with other areas of work or potential duplication can be identified. This also enables the Committee to gain an awareness of the issues being investigated across all services of the Council.
- 2 The scoping documents for the Learning Disabilities and Transition Task Group (Adults & Health and Children & Education Select Committees), the Special Educational Needs and Disabilities (SEND) Improvement Task Group, the Children, Schools and Families Performance Monitoring Member Reference Group (Children & Education Select Committee) and the Surrey Fire and Rescue Integrated Risk Management Plan Member Reference Group (Communities Select Committee) are attached for the Committee's consideration (**Annexe 1**).

Recommendation:

That the Committee reviews the attached task group scoping reports and suggests any amendments or additions for consideration by the Adults & Health, Children & Education and Communities Select Committees.

Next Steps:

The Committee will be kept informed of progress and outcomes as appropriate.

Report contact: Ross Pike, Scrutiny Manager, Democratic Services
Contact details: 020 8541 7368, ross.pike@surreycc.gov.uk

Sources/background papers: None

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Select Committee Task and Finish Group Scoping Document

The process for establishing a task and finish group is:

1. The Select Committee identifies a potential topic for a task and finish group
2. The Select Committee Chairman and the Scrutiny Officer complete the scoping template.
3. The Overview and Budget Scrutiny Committee reviews the scoping document
4. The Select Committee agrees the membership of the task and finish group.

<p>Review Topic: Learning Disabilities and Transition</p>
<p>Select Committee(s)</p> <p>Children and Education Select Committee Adults and Health Select Committee</p>
<p>Relevant background</p> <p>The Care Act 2014 requires that the council assess the needs of all children likely to need care and support after becoming 18, and puts the appropriate arrangements in place.</p> <p>Many of these children and young people will have already identified as having a Special Educational Need and Disability (SEND). Some will receive support through an Education, Health and Care Plan (EHCP), or will be known to the Children with Disabilities team. The planning will usually begin around year 9 (13-14 years old) but can vary depending on individual circumstances.</p> <p>The 2017/18 budget for 0-25 SEND in Schools and Learning is £170m, which includes £14m of savings. In addition to this, the social care component of the support the council provides is budgeted as part of Surrey's county wide children's services.</p> <p>Care and support for adults with learning disabilities 16-64 accounts for £154 million of the Adult Social Care budget (approximately 33% of the gross budgeted expenditure).</p> <p>There is a £3 million saving planned around the optimisation of transition pathways over the life of the current Medium Term Financial Plan (MTFP) 2017-2021.</p> <p>Currently the Transition Team holds a total of 1846 cases; of these 734 are carers. On average, the team receives three new case referrals a day.</p>

Why this is a scrutiny item

The statutory responsibilities of the council to both children and adults with care and support needs are substantial.

The number of young people with complex needs transferring into adult social care has been recognised as a significant demand pressure within the MTFP.

This has also been identified by the Cabinet Members as an area requiring the support of the Council's scrutiny function.

What question is the task group aiming to answer?Phase 1 - Knowledge and ResearchUnderstanding the experience

What are the council's specific responsibilities in respect to supporting preparation for adulthood and transition into adult services?

What do the transition pathways look like?

What packages of education, care and support are available for young people with complex needs and their families? How do these packages change as a young person moves into adulthood?

Understanding the demand

What are the current pressures created by transition of young people with complex needs into adult social care?

How does the current demand impact on Children, Schools and Families and Adult Social Care?

How is future demand in this area planned for, and how can the council improve public value in this area?

Aim

To scrutinise how the council plans care and support for young people with complex needs as they transition into adulthood, and how future demand will be met.

Objectives

- To review the experience of young people with complex needs and their families/carers through transition, and identify areas for development.
- To scrutinise how savings are being realised through optimising transition pathways.
- To make recommendations as to future policy in order to meet demand and improve public value.

The work of the task group will be conducted in two phases. Phase one will gather intelligence, identify witnesses and establish some of the key information regarding the experience of young people with complex needs as they transition into adulthood.

It will also look to gather data on the care and support services the council provides, and what this represents in terms of current and projected financial demand.

An interim report will summarise key findings, and identify areas for further scrutiny.

The second phase will seek to conduct in-depth analysis on these areas, with the intention of producing recommendations for Cabinet and officers.

Scope (within / out of)

In scope

- Young people eligible for care and support as they move into adulthood, and their families/carers
- Services provided by Adult Social Care and Children, Schools and Families to support transition into adulthood
- Other support (i.e. health services) available
- The role of education in supporting independence and wellbeing

Out of scope

- Educational attainment for SEND pupils
- SEND transport arrangements
- Individual support arrangements for children, young people, adults and their families
- SEND Written Statement of Action

Outcomes for Surrey / Benefits

The review will seek to make recommendations in respect to improving the experience of young people and their families/carers, and to optimise public value for the benefit of the council and Surrey residents.

Proposed work plan

It is important to clearly allocate who is responsible for the work, to ensure that Members and officers can plan the resources needed to support the task group.

Timescale	Task	Responsible
August 2017	Scoping with input from Overview and Budget Scrutiny Committee Chairman, Cabinet Member and relevant officers	Chairmen of Adults & Health Select Committee and Children & Education Select Committee
August 2017	Provisional project plan	Scrutiny Officer/ Chairmen
September 2017	Research and intelligence gathering- "Listening session" with young people and their families.	Task group
October – November	Interview sessions with key officers, Cabinet Members and other witnesses	Task group
December 2017	Interim report and phase two scoping	Committee Chairmen and Chairman of Overview and Budget Scrutiny Committee
January – March 2018	Phase Two	
April 2018	Final report	

Witnesses

Phase One

Young people with complex needs and their families (SEND voices)

Family Voice

Cabinet Member for Adults

Cabinet Member for Children

Cabinet Member for Schools

Strategic Director for Children, Schools and Families

Strategic Director for Adult Social Care and Public Health

Deputy Director for Adult Social Care

Assistant Director for Schools and Learning

Assistant Director for Commissioning and Prevention

Transition team

Phase two (to be expanded)

Care and support providers

Schools – Secondary Phase and Special School Phase

Further Education Colleges

Useful Documents

Care Act 2014

Children and Families Act 2014

Surrey SEND 2020 Development Plan¹

Children Schools and Families Commissioning Plan 2017-22

SEND code of practice: 0 to 25 years, Department for Education and Department of Health

“Transition from children’s to adults’ services for young people using health or social care services”, National Institute for Health and Care Excellence Guideline and Quality Standard

¹ https://www.surreycc.gov.uk/data/assets/pdf_file/0008/84680/SEND-Development-Plan-2016-2020-online.pdf

Potential barriers to success (Risks / Dependencies)

SEND services for children and young people in Surrey are currently subject to extensive transformational work – these are also subject to scrutiny by a Children and Education Select Committee task group.

The task group’s work will need to retain a view as to how these dependencies may influence or impact on the scope of its review. It can mitigate the risk of duplication by ensuring it remains in scope, while also seeking to share intelligence between these two groups where appropriate. This is a role for the Chairmen of both committees.

The task group’s desire to understand the experience of young people and their families must remain proportionate, in order to enable timely delivery of the task group’s objectives. At the same time, it must seek to challenge its own assumptions and assertions, and identify where further evidence is required. This creates a risk to timely delivery, though the oversight of the Overview and Budget Scrutiny Committee will assist with keeping the review on track.

Equalities implications

The Task Group will be mindful of how it engages with young people with complex needs, and seek to engage the expertise of advocacy groups and engagement professionals where appropriate. It will also seek to identify where there are limitations in its approach, and seek to manage this.

The Task Group will monitor the equalities implications emerging from its recommendations with officers, and will work to identify mitigation measures for those with a potentially negative impact.

Task Group Members	2 representatives from Adults and Health Select Committee 2 representatives from Children and Education Select Committee 1 representative from Overview and Budget Scrutiny Committee
Co-opted Members	None.
Spokesman for the Group	Ken Gulati, Chairman of Adults and Health Select Committee
Scrutiny Officer/s	Andrew Spragg

Performance Member Reference Group

The process for establishing a task and finish group is:

1. The Select Committee identifies a potential topic for a task and finish group
2. The Select Committee Chairman and the Scrutiny Officer complete the scoping template.
3. The Overview and Budget Scrutiny Committee reviews the scoping document
4. The Select Committee agrees membership of the group.

<p>Review Topic: Children, Schools and Families Performance Monitoring</p>
<p>Select Committee(s) Children and Education Select Committee</p>
<p>Relevant background</p> <p>During this year's Committee induction, Members of Children and Education Select Committee recognised the importance of using performance monitoring to drive required improvements in Children's Services. Improved performance monitoring and scrutiny is a key part of the Council's improvement plan.</p> <p>During the previous Council the predecessors to the Children and Education Select Committee, the Social Care Services Board and the Education and Skills Board, both convened performance sub groups which focussed on school improvement reports and the performance of Children's Services.</p> <p>It is proposed that the Children and Education Select Committee constitutes a group to continue to monitor the performance of school improvement, school attainment and Children's Services to ensure that reasonable quality of service is maintained.</p>
<p>Why this is a scrutiny item</p> <p>Members recognise that some services have been found to not be providing a good enough service for children and young people in Surrey. Many of these services help the Council deliver its statutory responsibilities across the county. Throughout the Committee induction process Officers outlined some of the improvement plans in place for these priority areas for the Council. This induction work, along with previous scrutiny work, have highlighted some specific areas Members wish to focus on, such as:</p> <ul style="list-style-type: none"> • Levels of high demand on Children's Services which can lead to a backlog of casework. • Educational attainment, and in particular, attainment for disadvantaged groups such as looked after children who, in Surrey, are not achieving as high outcomes than their counterparts in other areas of the country. • SEND services; which are subject to some major improvement also following an inspection from Ofsted and the Care Quality Commission in 2016.

What questions are the group aiming to answer?

- How well is the council doing for children and young people?
- How well is the council improving its services for children and young people?
 - Does our data show the directorate's strengths and weaknesses?
 - What is the directorate doing to identify and improve upon these?
- How well do we understand our improvement against the standards our regulators use and expect?
- What is needed to achieve further required improvements across the Council's services?
- What is the quality of work in the delivery of the Council's statutory responsibilities?

Aim

That the Member Reference Group has a clear understanding of performance within the key areas of the Children, Schools and Families Directorate and is in a position to identify future areas of scrutiny based on this data. In turn, this will help support an improvement of service for children and their families across Surrey.

Objectives

Meeting bi-monthly with Officers to receive and analyse the most up-to-date strategic level performance data from across the directorate.

To understand how well the Council is doing for children and young people, based on performance data and insight on quality of practice.

To test trends and themes highlighted from the data analysis and take appropriate further action as necessary. This could include:

- Providing regular findings reports to the main committee, outlining:
 - The work completed at each MRG meeting
 - What are the MRG's concerns? (future risks and dangers to council services)
 - What's working well? (existing strengths)
 - What do the MRG still needs to know? (grey areas, unknown information, expanded detail)
 - What needs to happen?
- Suggesting recommendations back to the main committee to establish further areas for formal scrutiny and focussed work for the Member Reference Group.
- Where appropriate, suggest recommendations for the main committee to escalate urgent concerns to Cabinet, or the relevant Cabinet portfolio holder.

<p>Scope (within / out of)</p> <p>In scope:</p> <ul style="list-style-type: none"> • Children’s Service’s performance • Schools and Learning performance • Commissioning and Prevention performance • Service specific Key Performance Indicators <p>Out of scope:</p> <ul style="list-style-type: none"> • Budgetary performance of CSF
<p>Outcomes for Surrey / Benefits</p> <p>Wellbeing:</p> <ul style="list-style-type: none"> • Improve outcomes for children in need of support and protection • Support families through the Surrey Family Support Programme <p>Economic prosperity:</p> <ul style="list-style-type: none"> • Support young people to participate in education, training or employment <p>Resident experience:</p> <ul style="list-style-type: none"> • Improve the satisfaction of families of children with special educational needs and disabilities with the support they receive

Proposed work plan

Timescale	Task	Responsible
August & September 2017	Scoping with input from Overview and Budget Scrutiny Committee Chairman, Cabinet Member and relevant officers.	Democratic Services Officers and Committee Chairmen
October 2017	Hold MRG meeting to review directorate performance data	Democratic Services Officers and Member Reference Group
November 2017	Provide the main Children & Education Select Committee with first findings report with any initial recommendations for future formal scrutiny.	Member Reference Group
December 2017	Hold MRG meeting to review directorate performance data. Complete self-assessment review against the MRG targets and scoping document. Suggest any recommendations and adjustments to the main committee and/or Overview and Budget Scrutiny Committee.	Democratic Services Officers and Member Reference Group
Spring 2018	Provide the main Children & Education Select Committee with second findings report with any recommendations for future formal scrutiny.	Member Reference Group

<p>Potential Witnesses Will Balakrishnan, Head of Insight & Innovation Belinda Newth, Head of Quality & Experience Sam Bushby, Assistant Director Children’s Services Catherine Parry, Improvement Consultant Ben Byrne, Head of Early Help & Family Services Liz Mills, Assistant Director Schools & Learning Julie Stockdale, SEND & School Organisation Strategic Lead</p>
<p>Useful Documents</p> <ul style="list-style-type: none"> • Children, Schools & Families Quality Report • Children’s Services & Early Help Compendium • Schools & Learning Compendium • Children, Schools & Families Complaints Data
<p>Potential barriers to success (Risks / Dependencies) Member & Officer availability Timely access to data for analysis</p>
<p>Equalities implications</p> <p>The services within the scope of this Member Reference Group may provide support to residents with ‘protected characteristics’, as defined by The Equality Act 2010. The Group will monitor the equalities implications emerging from its work with officers, and will work to identify mitigation measures for those with a potentially negative impact, if applicable.</p>

Task Group Members	Mark Brett-Warburton Christopher Botten Chris Townsend Tina Mountain Yvonna Lay
Co-opted Members	-
Spokesman for the Group	To be decided at first MRG meeting
Scrutiny Officer/s	Democratic Services Officer(s)

Special Educational Needs and Disabilities (SEND) Improvement Task and Finish Group

The process for establishing a task and finish group is:

1. The Select Committee identifies a potential topic for a task and finish group
2. The Select Committee Chairman and the Scrutiny Officer complete the scoping template.
3. The Overview and Budget Scrutiny Committee reviews the scoping document
4. The Select Committee agrees membership of the task and finish group.

<p>Review Topic:</p> <p>Improvement for Special Educational Needs and Disabilities (SEND) Services in Surrey.</p>
<p>Select Committee(s):</p> <p>Children and Education Select Committee</p>
<p>Relevant background</p> <p>The total budget for SEND services to children and young people aged 0-25 in 2016/17 was £237m¹ and although there were planned savings for SEND in the Medium Term Financial Plan, SEND will remain a significant expenditure for Children, Schools and Families for some time to come.</p> <p>The SEND Partnership Board published the SEND Development Plan 2020 in Spring 2016, setting out their aims and ambitions for transforming the statutory provision and offer for children and young people with SEND in Surrey by 2020. During the previous Council, a joint Task and Finish Group with Members from the Education and Skills Board, Social Care Services Board, Residents Experience Board and Wellbeing and Health Scrutiny Board was set up to scrutinise the delivery of the SEND Development Plan 2020.</p> <p>Following an area inspection of SEND services in Surrey by Ofsted and the Care Quality Commission (CQC), which found Surrey's services requiring improvement, the group re-focussed their work on the development of the Surrey's Written Statement of Action. This was published in March 2017.</p> <p>Surrey recognises that service changes and improvements required are significant in scale and pace; this has been reflected in the agreed Written Statement of Action.</p>

¹ Special Educational Needs and Disabilities Development Plan 2016-2020, (page 14), Surrey County Council, published Spring 2016

<p>Why this is a scrutiny item</p> <p>The Children and Education Select Committee proposes that a SEND Improvement Task and Finish Group is established to follow and monitor the required improvements for Surrey’s SEND Services, in line with the conditions set out in the Written Statement of Action.</p>
<p>What question is the task group aiming to answer?</p> <ul style="list-style-type: none"> • How is the council improving its services for children and young people with Special Educational Needs and Disabilities? • How does the council’s performance for SEND Services contribute to the improvements required within the Written Statement of Action? • Does Surrey understand its improvement against the standards its regulators use and expect? • What is needed to achieve further required improvements across Surrey’s SEND services?
<p>Aim</p> <p>That the Task and Finish Group:</p> <ul style="list-style-type: none"> • Supports and monitors the required service improvements for SEND services in Surrey • Provides Member oversight, challenge, accountability and assurance to the improvement process • Makes recommendations where appropriate.
<p>Objectives</p> <p>Meet with officers to ascertain the project timelines and deadlines associated with the service improvement plans.</p> <p>Meet regularly with Officers to: assess and receive progress updates/reports on the required service improvements; to understand how SEND services are changing, and how these changes will improve the quality of service to children and young people. The Group will use up-to-date strategic documents and reports, as used by officers, to assess progress; what is happening, and how it is being completed.</p> <p>Identify themes and risks associated with the transformation of SEND services and take appropriate further action as necessary. This could include: providing regular findings reports to the main committee; suggesting recommendations back to the main committee to establish further areas for formal scrutiny and focussed work; or where appropriate, suggest recommendations for the main committee to escalate urgent concerns to Cabinet, or the relevant Cabinet portfolio holder.</p>
<p>Scope (within / out of)</p> <p>In scope</p> <ul style="list-style-type: none"> • The delivery of SEND services transformation against the agreed Written Statement of Action

- SEND Services Performance

Out of scope

- Scrutiny of individual SEND service provisions
- SEND services budgets

Outcomes for Surrey / Benefits

Surrey County Council’s Corporate Strategy sets out strategic goals to improve resident wellbeing, experience and the county’s economic prosperity. This task group would support the delivery of two corporate goals:

1. Improve outcomes for children in need of support and protection (Wellbeing)
2. Enhance opportunities for residents to influence and shape council services (Resident Experience)
3. Improve the satisfaction of families of children with special educational needs and disabilities with the support they receive.(Resident Experience)

Proposed work plan

It is important to clearly allocate who is responsible for the work, to ensure that Members and officers can plan the resources needed to support the task group.

Timescale	Task	Responsible
August & September 2017	Scoping with input from Overview and Budget Scrutiny Committee Chairman, Cabinet Member and relevant officers.	Democratic Services Officers and Committee Chairmen
September – October 2017	Meet with officers to establish the agreed timelines and deadlines required for service improvements. Establish progress made against the Written Statement of Action.	Democratic Services Officers, Task & Finish Group Members, CSF Officers
November 2017	Provide the main Children & Education Select Committee with first findings report with any initial recommendations for future formal scrutiny.	Member Reference Group
November & December 2017	Meet with officers to establish and monitor further progress made against the Written Statement of Action. Identify areas of weakness and, if appropriate, make recommendations to support the delivery of the remaining actions required.	Democratic Services Officers, Task & Finish Group Members, CSF Officers
Spring 2018	Continue regular meeting with officers to establish and monitor further progress made against the Written Statement of Action. Provide the main Children & Education Select Committee with findings reports with any initial recommendations for future formal scrutiny.	Democratic Services Officers, Task & Finish Group Members

Spring-Summer 2018	Using findings from Task and Finish Group meetings, and findings from follow-up Ofsted/CQC meetings, provide the main Children & Education Select Committee with a final report, with any closing recommendations.	Task & Finish Group Members
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<p>Potential Witnesses Liz Mills, Assistant Director Schools & Learning Julie Stockdale, SEND & School Organisation Strategic Lead Gabrielle Close, Interim Head of SEND Operations Beth Stewart, Project Manager Michael Nash, Project Officer Family Voice SEND Voices Diane McCormack, Acting Director at NHS Guildford and Waverley CCG Zarah Lowe, Principal Commissioning Manager (SEND)</p>
<p>Useful Documents Joint local area SEND inspection in Surrey Surrey Local Area Written Statement of Action following SEND inspection & supporting documents www.surreylocaloffer.org.uk SEND Development Plan SEND Improvement Plan Part 1 of Schools & Learning Performance Compendium</p>
<p>Potential barriers to success (Risks / Dependencies) Officer availability and capacity. Tight reporting deadlines.</p>
<p>Equalities implications The services within the scope of this Task and Finish Group will provide support to residents with 'protected characteristics', as defined by The Equality Act 2010, many of which with complex levels of need and support. The Group will be mindful of this and will monitor the equalities implications emerging from its work with officers, and will work to identify mitigation measures for those with a potentially negative impact, if applicable.</p>

Task Group Members	Mark Brett-Warburton Chris Townsend Christopher Botten Tina Mountain Yvonna Lay
Co-opted Members	-
Spokesman for the Group	To be decided at first meeting
Scrutiny Officer/s	Democratic Services Officer(s)

**Communities Select Committee/Surrey Fire and Rescue Service
Integrated Risk Management Plan Member Reference Group Scoping Document**

The process for establishing a task and finish group is:

1. The Select Committee identifies a potential topic for a Member Reference Group
2. The Select Committee Chairman and the Scrutiny Officer complete the scoping template.
3. The Overview and Budget Scrutiny Committee reviews the scoping document
4. The Select Committee agrees membership of the Member Reference Group.

<p>Review Topic:</p> <p>Integrated Risk Management Plan (IRMP)</p>
<p>Select Committee(s)</p> <p>Communities Select Committee</p>
<p>Relevant background</p> <p>As part of the Fire and Rescue Services Act 2004, the government produces and updates a Fire and Rescue National Framework which sets out what it expects from Fire and Rescue Authorities (FRAs). Part of this framework requires all FRAs to produce an Integrated Risk Management Plan (IRMP) that considers all the fire and rescue related risks that could affect the communities they serve. This planning process helps to identify longer term priorities, to make sure an up-to-date assessment of risk is in place, and the best strategy for change can be plotted.</p> <p>In 2016 Surrey Fire and Rescue Authority (SFRA) published their Public Safety Plan 2016-2025 (PSP) which describes the vision for Surrey Fire and Rescue Service (SFRS), and established a framework for its future development. This vision remains largely unchanged; however, within a constantly changing environment both new threats and new opportunities have emerged. SFRS will now be setting out detailed plans to meet the Medium Term Financial Plan (MTFP) within a new IRMP, outlining how the service will respond and adapt to these changes and continue to deliver a sustainable and cost effective service that focuses on community risk reduction.</p>
<p>Why this is a scrutiny item</p> <p>SFRS will be developing a new comprehensive IRMP. The new plan will set out how the Service will continue to deliver efficient and effective Prevention, Protection and Response within Surrey, whilst achieving required savings within the MTFP.</p>
<p>Aim</p> <p>To provide Member-led support and act as a critical friend in the design and delivery of the new Integrated Risk Management Plan required to help achieve the savings within the MTFP.</p>

Objectives

To question/challenge officers around changes being considered and identify any further information which might be required, to ensure the new IRMP is as open and comprehensive as possible.

To provide regular findings reports to the main committee outlining the work completed at each MRG meeting, and progress on the overall project.

To suggest recommendations back to the main committee to establish further areas for formal scrutiny and focussed work for the Member Reference Group.

To lead the discussion when the draft and final IRMP is discussed by the Communities Select Committee, ensuring that other Members have a good understanding and can make informed decisions.

Scope (within / out of)

In scope

Public Safety Plan 2016-2025

Headline MTFP savings requirements for SFRS

Development of the new Integrated Risk Management Plan

Out of scope

Fire and Rescue governance arrangements

Fire contingency cover contracts/plans

Outcomes for Surrey / Benefits

IRMP is a key planning document for the SFRA and SFRS and describes how it will work to keep Surrey residents, and those that work or travel through the County, safe over the coming years. The work of this group will also support the delivery of the following corporate strategic goals;

1. Everyone in Surrey has a great start to life and can live and age well - (Wellbeing)
2. Residents in Surrey experience public services that are easy to use, responsive and value for money – (Resident Experience)
3. Make better use of digital technology to improve services for residents (Resident Experience)
4. Enable people to stay well at home in their community (Wellbeing)
5. Deliver the savings set out in the Medium Term Financial Plan (Resident Experience)

Proposed work plan

It is important to clearly allocate who is responsible for the work, to ensure that Members and officers can plan the resources needed to support the task group.

Timescale	Task	Responsible
August & September 2017	Scoping with input from Overview and Budget Scrutiny Committee Chairman, Cabinet Member and relevant officers.	Democratic Services Officers and Committee Chairmen

September 2017 to March 2018	<p>The Member Reference Group will aim to meet monthly, though this may be subject to change based on project needs and availability of its Membership, to work alongside the SFRS officers, to receive updates, act as a sounding board and provide a Member steer as the project progresses and the renewed IRMP is developed.</p> <p>The Member Reference Group will keep the main Communities Select Committee updated on key developments throughout the review and refresh of the IRMP.</p>	Members & Surrey Fire & Rescue Service officers
Spring 2018 onward	<p>Following the public consultation, provide a written report of their conclusions and recommendations when the final IRMP is presented to the Communities Select Committee.</p> <p>The Member Reference Group will be dissolved when the new IRMP is completed, and recommendations on the proposed final IRMP have been made to Cabinet by the Communities Select Committee.</p>	Members, Surrey Fire & Rescue Service officers & Democratic Services officers

<p>Support Victoria Kiehl, Project Specialist Sally Wilson, Head of Intelligence & Mobilising</p>
<p>Useful Documents Public Safety Plan 2016-2025 Medium Term Financial Plan 2017-2020</p>
<p>Potential barriers to success (Risks / Dependencies)</p> <p>Member and officer availability Tight reporting deadlines</p>
<p>Equalities implications</p> <p>The Member Reference Group will monitor the equalities implications emerging from its recommendations with officers, and will work to identify mitigation measures for those with a potentially negative impact.</p>

Task Group Members	Keith Witham Saj Hussain Bob Gardner Alison Griffiths Rachael Lake (where possible)
Co-opted Members	-
Spokesman for the Group	Saj Hussain
Scrutiny Officer/s	Democratic Services Officers

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