



Agenda

Audit, Scrutiny and Transformation Committee

Monday, 7 December 2015 at 7.00 pm

Council Chamber - Town Hall

Membership (Quorum–3)

Cllrs Faragher (Chair), Mrs Murphy (Vice-Chair), Barrett, Clark, Mrs Hones, Kendall, Mynott, Mrs Slade, Trump and Pound

Agenda Item	Item	Wards(s) Affected	Page No
1.	Apologies for Absence		
2.	Minutes of the Previous Meeting		5 - 10
3.	Strategic Risk Review	All Wards	11 - 44
4.	Corporate Complaints Monitor and Freedom of Information Requests	All Wards	45 - 50
5.	Scrutiny Work Programme	All Wards	51 - 56
6.	Urgent Business		

A handwritten signature in black ink, appearing to read "P. L. Russell". The signature is stylized with a large, sweeping underline that extends to the right.

Head of Paid Service

Town Hall
Brentwood, Essex
27.11.2015

Information for Members

Substitutes

The names of substitutes shall be announced at the start of the meeting by the Chair and the substitution shall cease at the end of the meeting.

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Any Members may attend any Committee to which these procedure rules apply.

A Member who is not a member of the Committee may speak at the meeting. The Member may speak at the Chair's discretion, it being the expectation that a Member will be allowed to speak on a ward matter.

Members requiring further information, or with specific questions, are asked to raise these with the appropriate officer at least two working days before the meeting.

Point of Order/ Personal explanation/ Point of Information

Point of Order

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Personal Explanation

A member may make a personal explanation at any time. A personal explanation must relate to some material part of an earlier speech by the member which may appear to have been misunderstood in the present debate, or outside of the meeting. The ruling of the Chair on the admissibility of a personal explanation will be final.

Point of Information or clarification

A point of information or clarification must relate to the matter being debated. If a Member wishes to raise a point of information, he/she must first seek the permission of the Chair. The Member must specify the nature of the information he/she wishes to provide and its importance to the current debate, If the Chair gives his/her permission, the Member will give the additional information succinctly. Points of Information or clarification should be used in exceptional circumstances and should not be used to interrupt other speakers or to make a further speech when he/she has already spoken during the debate. The ruling of the Chair on the admissibility of a point of information or clarification will be final.

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Minutes

Audit, Scrutiny and Transformation Committee Tuesday, 29th September, 2015

Attendance

Cllr Kerlake (Chair)	Cllr Mynott
Cllr Mrs Murphy (Vice-Chair)	Cllr Morrissey
Cllr Kendall	Cllr Reed

Apologies

Cllr Barrett
Cllr Slade
Cllr Hones

Substitute Present

Cllr Morrissey (substituting for Cllr Barrett)
Cllr Reed (substituting for Cllr Slade)
Cllr Wiles (substituting for Cllr Hones)

Officers Present

Claire Hayden	- Governance & Member Support Officer
Chris Leslie	- Finance Director
Chris Potter	- Monitoring Officer and Head of Support Services
Phil Ruck	- Head of Paid Service
Sue White	- Risk and Insurance Officer
Tim Huggins	- IT Manager
Liana Nicholson	- BDO, Internal Audit
Christine Connolly	- Ernst & Young, External Audit
Debbie Hanson	- Ernst & Young, External Audit

181. Apologies for Absence

Apologies were received Cllr Barrett with Cllr Morrissey substituting, Cllr Slade with Cllr Reed substituting and Cllr Hones with Cllr Wiles substituting.

182. Minutes of the Previous Meeting

The minutes of the Audit & Scrutiny Committee meeting held on 29th June 2015 were approved and signed by the Chair as a correct record.

183. Statement of Accounts 2014/2015

The report presented the Council's 2014/15 Statement of Accounts for approval following external audit.

Cllr Kerslake **MOVED** that Items 3 and 4 would be discussed and a vote on those recommendations would take place at the same time. It was **RESOLVED UNANIMOUSLY** to combine the vote on these two items

A motion was **MOVED** by Cllr Kerslake and **SECONDED** by Cllr Murphy to agree the recommendations set out in the reports for agenda items 3 and 4:

A vote was taken by a show of hands and it was **RESOLVED UNANIMOUSLY:**

1. That the Statement of Accounts for 2014/15 be approved
2. That the letter of Representation (Appendix B) be approved
3. That the Audit Results Report 2014/15 (Appendix A - page 141) be agreed.

REASON FOR DECISION

A system of sound financial control and governance arrangements underpins all of the services and priorities of the Council

184. External Audit Results Report 2014/15

The report presented to the Committee with the findings of the External Auditors in respect of the audit of the Council's Statement of Account for 2014/15

A vote was taken by a show of hands and it was **RESOLVED UNANIMOUSLY:**

1. That the Audit Results Report 2014/15 at appendix A be agreed.

Reasons for Recommendation

A system of sound financial control and governance arrangements underpins all of the services and priorities of the Council.

The meeting was adjourned for 5 mins for the Letter of Representation and Statement of Accounts to be signed.

185. Internal Audit Progress Report

The report detailed the progress to date against the 2015/16 internal audit plan that was agreed with in the Audit and Scrutiny Committee in March 2015.

The report also included an update on the progress of the implementation of the recommendations raised in 2013/14 and 2014/15.

The reports received limited assurance and therefore were included as full reports as supplementary papers to the progress report:

- Payroll (from 2014/15)
- IT Transformation Programme (from 2014/15)
- Accounts Payable

A Counter Fraud Risk Assessment had also been completed and the full report had also been included as a supplementary paper for information.

A motion was **MOVED** by Cllr Kerslake and **SECONDED** by Cllr Murphy
A vote was taken by a show of hands and it was **RESOLVED UNANIMOUSLY:**

1. to receive and note the contents of the reports.

REASON FOR DECISION

To monitor the progress of work against the internal audit plan

186. Strategic Risk Review

The Insurance & Risk Management Strategy had been reviewed and was submitted to the Committee for approval.

The report updated members of the Audit, Scrutiny and Transformation Committee on new, closed or changes to strategic risks.

A motion was **MOVED** by Cllr Wiles and was **SECONDED** by Cllr Murphy

A vote was taken by a show of hands and it was **RESOLVED:**

1. To agree the revised Insurance & Risk Management Strategy (Appendix A).
2. To agree the updated Strategic Risk Register (Appendix B).

REASON FOR DECISION

Risk Management continued to be embedded quarterly within the Senior Management Team reports, where Heads of Service discuss the top level risks for their service areas to ensure that the risks were updated to reflect the ongoing changes.

In addition, the Risk & Insurance Officer will work with managers to ensure that any new or emerging risks are identified, assessed and managed appropriately.

187. Scrutiny Work Programme 2015/2016

The work of the Audit, Scrutiny and Transformation Committee be delivered both by Members working in groups and through formal Committee reports.

The Audit, Scrutiny and Transformation Committee will make recommendations to decision making committees and Council as necessary.

The Audit, Scrutiny and Transformation was invited to consider its 2015/16 work programme.

A motion was **MOVED** by Cllr Kerslake and **SECONDED** by Cllr Murphy

A vote was taken by a show of hands and it was **RESOLVED**:

1. That the Member/Officer Communications / Members Casework Task and Finish Group report back to the Committee in December 2015 as to the feasibility of achieving their objectives.
2. That the Audit, Scrutiny and Transformation work programme 2015/16 at appendix A be approved.

REASON FOR DECISION

To enact the provisions of Part 4.4 of the Constitution that the Audit and Scrutiny Committee agreed its work programme at each meeting of the Committee.

188. Transformation and New Ways of Working

The Council has to transform the way that it conducts its business. Advances in technology, changes in legislation and financial and other pressures, requires an organisation that is flexible; one which meets the needs of its customers but also provides employees of the Council with the tools to perform.

Key to any transformation is ensuring that the Council can continued to make the changes needed on an on-going basis. This implied an ability to adapt and be innovative.

Phase 1 of the Transformation agenda will focus on the delivery of the

Customer Access Strategy and New Ways of Working.

This is a vital piece of work and will support and make evident the change that is happening within the Council. This phase focuses on :

- The progress and implementation of the New Ways of Working programme, highlighting major milestones achieved and to follow.
- Implementation of the Customer Access Strategy and current progress.
- A review of the work programme that supports both of the above.

A motion was **MOVED** by Cllr Kerslake and **SECONDED** by Cllr Wiles

A vote was taken by a show of hands and it was **RESOLVED UNANIMOUSLY:**

1. To Agree the approach to Phase 1 of the Transformation and New Ways of Working Programme.
2. To Agree that further progress reports are made to the Audit, Scrutiny and Transformation Committee which will update on future workstreams.

REASON FOR DECISION

To formalise and set out transformation phase 1 plan that identifies a clear and structured approach.

189. IT Transformation and Data Security

The work programme to support IT Transformation and IT security fell into two themes: “Building a solid foundation” and “My Desktop Anywhere”.

The Council has a duty to protect its data. Further, we must do so in order to continue to provide a high level of service to customers. To allow this to happen, we needed to ensure the availability of ICT systems and access to data in a secure and reliable manner. This is provided by the IT infrastructure and can be thought of as the foundation to build upon.

In addition, the Council faces challenges including a continued increase in the amount of data being processed and stored, service provision to customers outside normal operating times through online services, and increasing costs and reduced resources.

New Ways of Working (NWoW) initiative outlined the need for officers to access information in a variety of ways and time periods to support changing customer requirements and working patterns. Using technology to provide “My Desktop Anywhere” supports NWoW putting the power into the department to design and provide their service.

To support this transformation IT needed to further transform! The approach of “high availability by design” should be implemented. The aim of high availability was to maximise access to systems and data for officers and customers. IT Transformation is delivered through the Modern Work Programme. Phase 1 improves current storage and links this with Microsoft Azure cloud services to enable the Council to take full advantage of the “cloud”.

A motion was **MOVED** by Cllr Kerslake and was **SECONDED** by Cllr Wiles

A vote was taken by a show of hands and it was **RESOLVED UNANIMOUSLY:**

1. That the details in this report are noted and the approach of high availability by design to IT transformation and security is agreed.
2. Schedule an information workshop to inform Members in more detail.

REASON FOR DECISION

Provision of a robust computing service to support the changing needs of the Council’s working practices to support the modern workforce.

Provision of the ‘high availability’ by design to support the overall transformation and NWoW as outlined in Audit Scrutiny & Transformation Agenda item 9 (29.09.2015).

Provision of a cost effective and sustainable ICT service.

190. Urgent Business

There were no items of urgent business.

The meeting concluded at 20.53.

7 December 2015

Audit & Scrutiny Committee

Strategic & Operational Risk Review

Report of: Chris Leslie, Finance Director

Wards Affected: None

This report is: Public

1. Executive Summary

- 1.1 The report updates members of the Audit, Scrutiny and Transformation Committee on new, closed or changes to strategic risks.

2. Recommendation(s)

- 2.1 To agree the Strategic & Operational Risk Registers and that the risk scores recorded for each risk accurately represents the current status of each risk.**

3. Introduction and Background

- 3.1 The governance arrangements set out in the 'Insurance & Risk Management Strategy' require the Audit Committee to review the strategic risks every quarter and the operational risks every six months.
- 3.2 The strategic risk register is attached at Appendix A and the Operational Risks attached at Appendix C. These are monitored quarterly by the Corporate Leadership Board who consider the risks, the mitigations and agree the content. It will be the responsibility of the Audit Committee to review the strategic risks and confirm they are confident that the risks associated within this register are those which are strategic and relevant to the organisation at this point in time and the considered future.
- 3.3 Two risk training sessions were held for Senior Managers and Members on 8 October. These sessions covered off one of the recommendations in the Internal Audit report and a request for Member training at the Audit Committee on 29 June 2015. During the session for Members discussion centred around identifying some of the emerging risks which may have implications for the Council over the next 5 years.

3.4 In line with Internal Audit recommendations, CLB are considering the inclusion of a Fraud & Corruption risk register.

4. Issue, Options and Analysis of Options

Strategic Risks

4.1 In accordance with the Council's Insurance and Risk Management Strategy, risk owners have reviewed their risks and risk scores, with the results discussed and agreed at CLB on 12 November 2015.

4.2 Attached to this report at Appendix B is a summary showing the current status of each risk and any movement in risk score compared with previous monitoring periods, together with explanatory commentary on the key issues for each risk.

4.3 As a result of the current risk review 7 scores have remained unchanged, 1 risk has increased and 3 new risks added.

4.4 New Risks

- Red risk RSK11 – Rollout of Universal Credit (Row No. 2)
- Red risk RSK12 – Extension of Right to Buy to registered provider tenants (Row No. 3)
- Yellow risk RSK13 – Failure to deliver key Corporate Projects (Row No. 7)

4.5 Risk Score Increased

- Amber risk RSK2 – Local Development Plan (Row No. 4)
This risk has been increased due to the possible impact on the borough should the LDP not be delivered on time.

Risk Matrix

4.6 The thirteen risks are plotted on the risk matrix below. The current assessment identifies that three risks will remain in the red area of the risk matrix.

Likelihood/Probability	5	10	15	20	25
	4	8	12	16	20 RSK1 RSK11 RSK12
	3	6	9	12 RSK4 RSK9	15 RSK2 RSK5 RSK10
	2	4	6	8 RSK3 RSK7 RSK8	10 RSK13
	1	2	3	4	5
	Negligible	Minor	Moderate	Significant	Major
Negative Impact/Severity					

No.	Risk	No.	Risk
1	Finance Pressures	8	Contract/Partnership Failure
2	Local Development Plan	9	Lack of Strategic Direction
3	Disaster Recover/Continuity Planning	10	Failure to Spend Capital Receipts
4	Organisational Capacity	11	Roll out of Universal Credit
5	Information Management and Security	12	Extension of Right to Buy to registered provider tenants
7	Commercial Activities	13	Failure to deliver key Corporate Projects

Operational Risks

- 4.7 The Operational Risks, attached at Appendix C, have been updated and amended where necessary to reflect the actions being taken to manage the risks. At the time of writing this report there were 41 operational risks.

Risk Group	No. of open risks on register	Low Risk	Medium Risk	High Risk
Environmental Health	3		3	
Governance	1		1	
Localism	4	2	2	
Planning	5		5	
Street Scene	7	6	1	
Business Transformation	3		3	
Finance	9	2	7	
Housing	2	1	1	
Assets	6	6		
Customer Services	1		1	

5. Reasons for Recommendation

- 5.1 Risk Management continues to be embedded quarterly within the Senior Management Team reports, where Heads of Service discuss the top level risks for their service areas to ensure that the risks are updated to reflect the ongoing changes.
- 5.2 In addition the Risk & Insurance Officer will work with managers to ensure that any new or emerging risks are identified, assessed and managed appropriately.

6. Consultation

- 6.1 None.

7. References to Corporate Plan

- 7.1 Effective risk management arrangements will support the Council to achieve its corporate priorities. The process will enable identification of risks and issues enabling informed decision making to removed or reduce them in order for the priorities to be achieved.

8. Implications

Financial Implications

Name & Title: Chris Leslie, Finance Director

Tel & Email: 01277 312542 / christopher.leslie@brentwood.gov.uk

- 8.1 There are no financial implications arising from this report.

Legal Implications

Name & Title: Christopher Potter, Monitoring Officer

Tel & Email: 01277 312860 / christopher.potter@brentwood.gov.uk

- 8.2 Effective risk management provides a means of identifying, managing and reducing the likelihood of legal claims or regulatory challenges against the Council.

9. Appendices to this report

Appendix A – Strategic Risk Register

Appendix B – Strategic Risk Register Summary Sheet

Appendix C – Operational Risks

Report Author Contact Details:

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Strategic Risk Register and Action Plan

Risk Number 1	Risk Owner: Chris Leslie	DATE: October 2015
Business Risk Description: Finance Pressures		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date
<ul style="list-style-type: none"> Failure or significant reduction of income streams and external funding Significant change in priorities – influenced by either demand, political vision or legislation Unplanned expenditure as a result of urgent works Expenditure incurred where no budgetary provision exists <p>Target levels for income are not achieved Target efficiency savings are not achieved</p>	<ul style="list-style-type: none"> Council unable to meet budget requirements Staffing and service level reductions Greater use of reserves to maintain a balanced budget Working balance levels fall below the risk assessed level Increased Council Tax Increase in charges 	<ul style="list-style-type: none"> Medium Term Financial Planning is undertaken on an annual basis Monthly Budget Monitoring Half year reports to Members A Funding Volatility Reserve has been created to specifically address the uncertainty of Government funding levels Healthy reserves and working balance levels held 	4	5	20
					Reduce
					Review Date
					Dec 2015

Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
Savings targets will be monitored throughout the year in addition to monthly budget monitoring on the Collaborative Planning module which requires sign off from Budget Managers and Heads of Service.	MTFP for next two years drafted with budget setting deadline of 2 March 2015.	Monthly budget monitoring. Budget set 2 March 2015.	Chris Leslie, Finance Director

Appendix A

Risk Number 2	Risk Owner: Gordon Glenday	DATE: October 2015
Business Risk Description: Local Development Plan		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date
<ul style="list-style-type: none"> Failure of Council to adopt a Plan in line with National Planning Policy Framework (NPPF) Lack of If you would like to discuss this, please do not hesitate to contact me on ext 2821. <ul style="list-style-type: none"> formal agreement through Duty to Cooperate Failure to adopt Community Infrastructure Levy (CIL) Loss/long term absence of staff Recruitment difficulties	<ul style="list-style-type: none"> Planning applications judged against NPPF 'in favour of sustainable development' Development permitted in locations on an ad-hoc basis Potential appeal costs Staff resource implications to deal with increased applications Lack of necessary infrastructure funding Delay to Plan preparation and lack of necessary expertise & experience 	<ul style="list-style-type: none"> Meeting targets set out in the Plan timetable (Local Development Scheme) Ongoing discussion with neighbouring Local Planning Authorities Recruitment of permanent staff to fill posts in Planning Policy Team (August 2014), reduced reliance on agency & temp staff 	3	5	15
					Reduce
					Review Date
					Dec 2105

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Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
Current adopted Plan timetable now out of date, CIL Preliminary Charging Rates agreed by Strategy & Policy Board (19.03.14) but consultation has yet to take place	<ul style="list-style-type: none"> Agreement of a new Plan timetable Agreement through Duty to Cooperate with neighbouring Local Planning Authorities regarding cross-boundary issues Agreement of key issues to inform proposed spatial strategy for quantum and locations of new development Completion of technical evidence to inform emerging Plan policies Consultation on CIL Preliminary Draft Charging Schedule and further work to enable CIL adoption by April 2016 deadline 	LDP – July 2017 CIL – April 2016	Gordon Glenday, Head of Planning Phil Drane, Planning Policy Team Leader

Risk Number 4	Risk Owner: Phil Ruck	DATE: October 2015
Business Risk Description: Organisational Capacity		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date
<ul style="list-style-type: none"> Lack of capacity to effectively govern the organisation Loss/sickness of key staff Failure to focus on staff wellbeing and development Failure to build relationships with residents and business communities 	<ul style="list-style-type: none"> Poor staff morale Poor communications Inability to deliver effective and efficient services Poor delivery of aspirations and priorities Inefficient use of resources Breakdown of Officer and Member relations 	<ul style="list-style-type: none"> MTFP Communications Protocol and Strategy Workforce Strategy Staff Survey (and Action Plan) Peer Review (and Action Plan) Regular meetings between Senior Members and Officers Staff Bulletins and Briefings Review options for alternative service delivery models 	3	4	12
					Reduce
					Review Date
					Dec 2015

Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
<p>As a District Authority – changes in priorities will always present a challenge in terms of flexibility and capacity to deliver.</p> <p>Financial constraints (also set out in RSK 1) places pressure on maintaining effective service delivery</p>	<ul style="list-style-type: none"> Develop a clear and concrete vision for the Council in order that resource requirements can be scoped Continuous programme of service reviews to evaluate alternative options for service delivery Look at shared service options in order to build capacity 	<p>30/09/2015 (after consultation)</p> <p>Ongoing</p>	<p>Phil Ruck, Head of Paid Service</p> <p>Relevant Managers</p>

Risk Number 5	Risk Owner: Chris Potter	DATE: October 2015
Business Risk Description: Information Management and Security		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date			
<ul style="list-style-type: none"> Data held by the Council ends up in inappropriate hands Little or no awareness of data collected internally – poor information sharing Lack of resources for IT integration 	<ul style="list-style-type: none"> Breach of corporate governance Increased costs and legal implications Reputation damaged 	<ul style="list-style-type: none"> Data Protection Policy 	3	5	15			
					Reduce			
								Review Date
								Dec 2015

Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
Weak, arising from a lack of an integrated approach to information management across the Council.	<ul style="list-style-type: none"> Review existing Data Protection Policy Raise awareness of the importance of information to the Council and the individual Produce a co-ordinated approach to information management and security Further training is being rolled out to Members & Officers and dates being arranged. Diarised date in place for required annual renewal of Council's Certificate of Registration with the Information Commissioner's Office (registration number Z2092695) due to expire on 8 February 2016. Diarised date in place for individual Councillor notification with ICO for renewal in April 2016. 	31/01/2016 Beginning of January 2016 April 2016	Christopher Potter, Monitoring Officer and Head of Support Services

Risk Number 7	Risk Owner: Phil Ruck	DATE: October 2015
Business Risk Description: Commercial Activities		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date			
<ul style="list-style-type: none"> Business plans not agreed Individual service income not realised or income generation below projections Business models reveal poor market prospects or fail Income not realized due to weak commercial company arrangements (including poor Governance) 	<ul style="list-style-type: none"> Council unable to meet budget requirements Staffing and service level reductions Spending/service cutbacks Greater use of reserves if required net savings are not achieved Increased Council Tax Increase in charges Ineffective application of business model and company fails (services move back in-house) 	<ul style="list-style-type: none"> Medium Term Financial Planning is undertaken on an annual basis with monitoring arrangements Monthly Budget Monitoring Quarterly monitoring arrangements Regular reports to Asset and Enterprise committee to provide close monitoring Robust business modeling and financial projections 	2	4	8			
					Retain			
								Review Date
								Dec 2015

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Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
In early stages but all aspects of this are being closely monitored by all parties (senior officers and Members)	<ul style="list-style-type: none"> More reporting on progress Services to include updates within their service plans Sound legal and financial advice to support the creation of a commercial company Agree commercial vehicle requirements for the Council Develop a business case to support the commercial activity 	Dec 2015	Phil Ruck, Head of Paid Service
		Jan 2016	Phil Ruck, Head of Paid Service & Steve Summers, Head of Customer Services
		Feb 2016	

Risk Number 8	Risk Owner: Phil Ruck	DATE: October 2015
Business Risk Description: Contract/Partnership Failure		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date
<ul style="list-style-type: none"> Key partnership fails or services provided via arrangements lacking adequate governance 	<ul style="list-style-type: none"> Lack of accountability Resources wasted Financial losses Objectives not met 	<ul style="list-style-type: none"> SLA's embedded within contract and penalties in place for non performance Regular reporting on contract performance Escalation and governance in place 	2	4	8
					Retain
					Review Date
					Dec 2015

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Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
Controls are governed by contract and are in a good situation	<ul style="list-style-type: none"> Continue to fine tune reporting Hold regular meetings with suppliers Engage relevant HoS (where applicable) New performance reports established and submitted to F&R Committee Continue to challenge existing performance indicators Revised Partnership, Strategy, Policy & Procedures to be ratified at Policy, Finance & Resource Committee in December 2015. 	Ongoing	Phil Ruck, Head of Paid Service

Risk Number 9	Risk Owner: Phil Ruck	DATE: October 2015
Business Risk Description: Lack of Strategic Direction		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date
<ul style="list-style-type: none"> Lack of long term strategic planning Lack of relationship with residents, business communities and partners 	<ul style="list-style-type: none"> Failure to adapt to policy/legislative changes Poor performance management Poor morale Poor delivery of priorities/aspirations Inefficient use of resources Reputation undermined Failure to communicate effectively Lack of community engagement 	<ul style="list-style-type: none"> Corporate Plan Training and Development for Officers and Members Code of Conduct Consultation/Surveys Project and Performance Management Framework 	3	4	12
					Reduce
					Review Date
					Dec 2015

Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
Some improvements required	<ul style="list-style-type: none"> Develop a clear and concrete vision for the Council in order that resource requirements can be scoped and the vision can be communicated internally and externally Vision to be agreed by Full Council 18 November 2015. 	30/11/2015	Phil Ruck, Head of Paid Service

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Risk Number 10	Risk Owner: Helen Gregory	DATE: October 2015
Business Risk Description: Failure to spend Capital Receipts		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date
<ul style="list-style-type: none"> Delays in delivering Affordable Housing programme 	<ul style="list-style-type: none"> In the event that the Receipts are not spent then all or the outstanding balance of the specific identified sums has to be paid to DCLG with interest at 4% above Base Rate from receipt. Reputation damage externally with HCA/EHOG and press coverage. 	<ul style="list-style-type: none"> Monitored by finance team Affordable housing programme 	3	5	15
					Reduce
			Reduce likelihood to 2 following control measures issued to purchase properties		Review Date

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Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
<ul style="list-style-type: none"> Improve monitoring arrangements to CLB level Immediate action has been implemented to mitigate risk of delays to affordable housing development programme by instructing the asset management team to purchase 2 x 3 bedroom properties 	<ul style="list-style-type: none"> Capital receipts placed on strategic risk register and monitored at CLB meetings 	Sep -15 £168,347.77 Dec-15 £940,485.57 Mar-16 £446,052.23	Helen Gregory, Head of Housing

Risk Number 11	Risk Owner: Helen Gregory	DATE: October 2015
Business Risk Description: Roll out of Universal Credit		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date
<ul style="list-style-type: none"> Approximately 50% of residents will be affected by Universal Credit as they are in receipt of Housing Benefit At least 5 affected Tenants since March 2015 Pending roll out to all on Housing Benefit over the next 2-4 years 	<ul style="list-style-type: none"> Loss of income to the HRA account 	<ul style="list-style-type: none"> Current Tenants affected by Universal Credit are being monitored by Housing Officers regularly Ability to refer externally/internally for budgeting advice Updated Income Management procedure to become more client based 	4	5	20
					Review Date
					Dec 2015

Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
<ul style="list-style-type: none"> More Officer – Tenant interaction via phone and face to face 	<ul style="list-style-type: none"> Education to all residents with regards to Money Management Development and implementation of a Pre-Tenancy Service 		

Risk Number 12	Risk Owner: Helen Gregory	DATE: October 2015
Business Risk Description: Extension of Right to Buy to registered provider tenants		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date
<ul style="list-style-type: none"> RTB is being extended to Housing Association tenants. It is proposed that funding will be provided by the Local Authority from the sale of high value Council houses when they become vacant 	<ul style="list-style-type: none"> Funding Reduced stock loss of homes <p>The full consequences are still unknown. We do not know how many Housing Association Tenants will want to purchase their homes. Housing Associations although mainly opposed to the idea; have negotiated through the National Housing Federation a deal with the Government to operate the RTB on a voluntary basis rather than compulsory.</p>	<p>The full details of the proposal will be announced through the Housing Bill. The 1st reading of the Housing Bill was heard on the 13 October 2015; the 2nd reading of the Housing Bill is on the 2 November 2015.</p> <p>We will continue to monitor progress and update Members.</p>	4	5	20
					Review Date
					Dec 2015

Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
•	•		

Risk Number 13	Risk Owner: Phil Ruck	DATE: October 2015
Business Risk Description: Failure to deliver key Corporate Projects		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date
<ul style="list-style-type: none"> No progress on the key corporate projects (currently defined as) <ol style="list-style-type: none"> LDP Town Centre/ WHW Town Hall Transformation Agenda 	<ul style="list-style-type: none"> Corporate plan is not delivered Underutilisation of resources Lack of economic growth Poor planning decisions forced upon Council (potential) 	<ul style="list-style-type: none"> PFR committee appointed as Programme Board Continued communication on all projects Ownership of delivery of projects identified at all levels within the Council 	2	5	10
					Review Date
					Dec 2015

Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
<ul style="list-style-type: none"> In early stages but acknowledgment of ownership has been high 	<ul style="list-style-type: none"> Development of key strategic plans which will then inform service plans 	Jan 2016	Phil Ruck, Head of Paid Service

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY :

Row No	Risk No	Risk Description	Residual Risk Rating Jan-15		Residual Risk Rating Jun-15		Residual Risk Rating Aug-15		Current Risk Rating Oct-15		Movement	Risk Response/Update on action required	Risk Owner
			*L	*I	*L	*I	*L	*I	*L	*I			
1	RSK1	Finance Pressures	3	4	3	4	4	5	4	5	↔	COMMENT JAN 15: Work is underway on the MTFP and will be concluded in March 2015. COMMENT JUNE 15: Savings options for 2016/17 and 2017/18 are being developed. COMMENT AUG 15: Increased risk due to recent announcements from central government and challenging savings targets. COMMENT OCT 15: MFTP for next two years drafted with budget setting deadline of 2 March 2016.	Chris Leslie
2	RSK11	Rollout of Universal Credit							4	5	20	NEW COMMENT OCT 15: Approximately 50% of residents will be affected by Universal Credit as they are in receipt of Housing Benefit. This will result in a loss of income to the HRA account.	Helen Gregory
3	RSK12	Extension of Right To Buy to registered provider tenants							4	5	20	NEW COMMENT OCT 15: RTB is being extended to Housing Association tenants. It is proposed that funding will be provided by the Local Authority from the sale of high value Council houses when they become vacant.	Helen Gregory
4	RSK2	Local Development Plan	3	4	3	4	3	4	3	5	15	COMMENT JAN 15: Consultation taking place, timetable on track. CIL timetable has been amended to co-incide with LDP. LDP timetable will need to be amended once the outcome of current consultation is known, particularly joint working with Basildon BC. COMMENT JUNE 15: Delivery dates for CIL and LDP changed in the light of further consultation on planning policies and a review of Council priorities. COMMENT AUG 15: New Local Plan timetable agreed by Planning & Licencing Committee on 21 July 2015. COMMENT OCT 15: In light of increased Govt pressure to build more new homes, the need for an adopted Local Plan has become even more of a priority.	Gordon Glenday
2	RSK5	Information Management and Security	3	5	3	5	3	5	3	5	15	COMMENT JUNE 15: Data protection registration has been renewed, expiring 8 February 2016. Training prepared and being rolled out. COMMENT AUG 15: Induction training to new members was delivered on 17 June 2015. Further training being rolled out. Diarised dates in place for renewal of Council's Certificate of Registration & individual Councillor notification with ICO. COMMENT OCT 15: Officer training on 27 October 2015 on FOI. Further training planned. Reviewed FOI protocols.	Chris Potter

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY

Row No	Risk No	Risk Description	Residual Risk Rating Jan-15		Residual Risk Rating Jun-15		Residual Risk Rating Aug-15		Current Risk Rating Oct-15		Risk Response/Update on action required	Risk Owner
			*L	*I	*L	*I	*L	*I	*L	*I		
3	RSK10	Failure to spend Capital Receipts	*L	*I	3	5	*L	*I	3	5	15	Helen Gregory
<p>NEW RISK</p> <p>COMMENT JUNE 15: Immediate action has been implemented to mitigate risk of delays to affordable housing development programme by instructing the asset management team to purchase 2 x 3 bedroom properties. COMMENT AUG 15: Delegated authority granted at 17 June 2015 Housing Committee for Officers to purchase two properties on the open market to meet the first expenditure deadline of the 15 September 2015. The properties should exchange/complete on the 11 September 2015. COMMENT OCT 15: Previous purchases were successful. Further acquisitions have been identified to meet the deadline.</p>												
5	RSK4	Organisational Capacity	3	4	3	4	3	4	3	4	12	Philip Ruck
<p>COMMENT JAN 15: Work has started within Housing, Revenues and Benefits. COMMENT JUNE 15: Work has commenced on the refreshed Corporate Plan. This will lead in turn to service plans which will clearly identify resource/capability issues. COMMENT AUG 15: The Corporate Plan is being refreshed with a public consultation. A restructure of CLB is currently underway. More regular sessions are being held with all teams to understand pressures. COMMENT OCT 15: With the agreement of the Council's Corporate Plan 2016-19, officers are now in a position to develop Service Plans which will incorporate detailed resource/structure plans.</p>												
6	RSK9	Lack of Strategic Direction	3	4	3	4	3	4	3	4	12	Philip Ruck
<p>COMMENT NOV 14: No change. COMMENT JAN 15: The long term vision will need to be developed alongside the MTFP. COMMENT JUNE 15: Work has commenced on the refreshed Corporate Plan. After consultation this will be presented to Full Council in Sept 2015. COMMENT AUG 15: The refreshed Corporate Plan is in the latter stages of development. The HoPS is visiting all teams to advise on strategic roadmap. COMMENT OCT 15: The approval of the Corporate Plan 2016-2019 will vastly reduce this risk.</p>												
7	RSK13	Failure to deliver key Corporate Projects							2	5	10	Phil Ruck
<p>NEW</p>												

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY :

Row No	Risk No	Risk Description	Residual Risk Rating Jan-15		Residual Risk Rating Jun-15		Residual Risk Rating Aug-15		Current Risk Rating Oct-15		Movement	Risk Response/Update on action required	Risk Owner		
			*L	*I	*L	*I	*L	*I	*L	*I				*L	*I
8	RSK3	Disaster Recovery/Business Continuity	2	5	2	4	2	4	2	4	8	8	↔	COMMENT JAN 15: An over-arching Business Continuity Plan has been produced for the Council as well as a Business Continuity template for all Services to prepare their own. These will be delivered by 31/03/2015. Resilience is to be tested through planned scenarios again by 31/03/2015. Battleboxes have been provided to all Services and there are back-ups at the depot. Business Continuity Plans contain information about what all battleboxes should contain. COMMENT JUNE 15: Updated BC and EP Workplans have been produced, with the exception of ICT and Parking which are in development. Resilience will be tested through planned scenarios once all Business Continuity Plans have been produced. Both staff and managers have been trained on Business Continuity and what their roles are. Business Continuity will be extended out to external businesses through the provision of key information. COMMENT AUG 15: ICT to provide a Disaster Recovery Plan, once this has been produced testing will take place. Exercises to test resilience of Gold Command & Emergency Planning arranged for 22/10/2015. COMMENT OCT 15: Gold Officer Training took place on 08/10/2015 & 09/11/2015 at Essex Fire & Rescue Services HQ. ICT still need to provide a Disaster Recovery Plan.	Ashley Culverwell
9	RSK7	Commercial Activities	2	4	2	4	2	4	2	4	8	8	↔	COMMENT JAN 15: No change. COMMENT JUNE 15: Budget approval has been granted for formation and work has commenced on the business case - the justification for the LATCO. COMMENT AUG 15: The focus on commercial activities continues with a review of alternative delivery models that might not necessitate the formation of a LATCo. COMMENT OCT 15: The organisation is currently identifying key areas of involvement.	Philip Ruck
10	RSK8	Contract/Partnership Failure	2	4	2	4	2	4	2	4	8	8	↔	COMMENT JAN 15: No change. COMMENT JUNE 15: Metrics continue to be improved and SLAs introduced. COMMENT AUG 15: As per previous report we continue to re-inforce metrics and understanding of key drivers for BBC. COMMENT OCT 15: This is ongoing and there are no changes to report.	Philip Ruck

* L = Likelihood Rating (1 = Low, 5 = High)
 * I = Impact Rating (1 = Low, 5 = High)
 Maximum Score 5 x 5 = 25

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OPERATIONAL RISK REGISTER
SERVICE: ENVIRONMENTAL HEALTH

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Protection of Front Line staff	Corporate Health & Safety Advisor	Injury to member of staff in or outside the Council offices	20	Lone working and Cautionary Contacts procedures have been provided on the Council's Health and Safety Microsite	20	Stage 2 of the pilot is commencing and evaluation of stage 1 is taking place.	8	Aug-15	Review of pilot completed and identifying other lone working devices that would be more appropriate for users and the work they undertake	8	Oct-15
RSK/2	Health and Safety at the Town Hall and Depot Buildings	Corporate Health & Safety Advisor	Injury to member of staff, customer or visitor at a Council Building	16	All divisions have received training in risk assessment and health and safety management. The microsite provides all information and formwork relating to risk assessments/safe systems of work and how to complete them	16	Continuing strategy to engage with HoS and Line Managers and supporting them to have good H&S in place to manage their risks. This is now improving the H&S culture & systems but there are areas that still need to be reviewed & improved.	8	Aug-15	Continuing strategy to engage with HoS and Line Managers and supporting them to have good H&S in place to manage their risks. This is now improving the H&S culture & systems but there are areas that still need to be identified, reviewed & improved.	9	Oct-15
RSK/3	Ability to react immediately on 24/7 basis to serious foreseen environmental health hazards such as unforeseen noise nuisance, food poisoning outbreaks, unfit food premises and health and safety hazards presenting a risk to the public	Environmental Health Manager	Residents may need to wait until normal office hours until officers can respond	10	There is no immediate reactive out of hours service. During bank holidays an improved service is provided particularly for noise nuisance. However arrangements are made on a planned basis to monitor suspect noise nuisances out of hours and intervene where appropriate. A cascade call out system is also provided which relies on availability and good will of officers.	10			Aug-15	Revised risk score in line with new risk scoring matrix.	8	

OPERATIONAL RISK REGISTER

SERVICE: GOVERNANCE

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Illegal encampments	Head of Legal Services	<ul style="list-style-type: none"> > Financial cost to the Council legally > Reputational impact > Clear up costs 	10	Out of hours processes in place to take swift action should encroachment occur	10	Legal action should be taken to obtain pre-emptive borough wide injunctions of known vulnerable sights to prohibit future incursions. Use of Civil & Magistrates court procedure, the latter to be preferred as have sanctions for re-incursions within 3 months of magistrate order.	6	Jun-15	Planned expenditure to protect likely sites from incursions - revised risk score	8	Nov-15

OPERATIONAL RISK REGISTER

SERVICE: LOCALISM

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions/controls	Last Review Date	Revised Risk Score	Further required actions/controls	Last Review Date
RSK/1	Failure to deliver BBC Events	Partnership, Leisure & Funding Manager	> Reputational Impact > Financial impact > Loss of life or injury	20	> Information, processes and procedures in place > Experienced staff in place to oversee events	12	No further action required as Event Management Plans are updated for each event	Aug-15	12	No further action required as Event Management Plans are updated for each event	Oct-15
RSK/2	Failure to meet safeguarding requirements; staff unaware of their responsibilities	Partnership, Leisure & Funding Manager	Single point of failure	4	> Safe guarding micro site in place > Ensure periods of absence are covered	2	No further action from previous update. Date still to be confirmed for Member training and finalising the safeguarding e-learning package for staff.	Aug-15	2	No further action from previous update. Date still to be confirmed for Member training and finalising the safeguarding e-learning package for staff.	Oct-15
RSK/3	Failure to manage and deliver partnership opportunities	Partnership, Leisure & Funding Manager	Partnerships not managed, not deliver what they were intended to do and resulting in loss of service and reputational damage	8	Funding strategy to be implemented	4	Revised Partnership Strategy, Policy and Procedures to be approved by Policy, Finance and Resources Committee on 15 September 2015.	Aug-15	4	Revised Partnership Strategy, Policy and Procedures is scheduled to go to December Policy, Finance and Resources Committee for sign off by Members which will strengthen the governance around the Council's Partnership working.	Oct-15
RSK/4	Hutton Community Centre	Partnership, Leisure & Funding Manager	Reputational and financial risk due to lack of use of the centre	12	Active working group, developing processes for future lease. Renovation of building nearing completion.	6	Heads of terms of lease to be agreed with community organisation and agreed by Members. Date report comes to committee to be confirmed.	Aug-15	6		Oct-15

OPERATIONAL RISK REGISTER

SERVICE: STREET SCENE

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Unable to collect waste due to: > shortage of vehicles > weather > strike action > pandemic > Theft or vandalism of vehicle fleet at the Depot	Operations Manager	> Piles of rubbish on street > Health risks > Financial impact > Reputation undermined > Delivery of services affected	5	> Winter Plan adopted > CCTV equipment linked to 24hr attended control room > Alarms and immobilisers fitted to vehicles > utilise staff from other services and contract with	3	No further action required	3	Aug-15	No further action required	3	Oct-15
RSK/2	Depot's diesel/petrol supply suspended	Operations Manager	> Delivery of services affected > Reputation undermined	4	Discuss as priority area with national agencies	3	No further action required	3	Aug-15	No further action required	3	Oct-15
RSK/3	Total loss of the Vehicle Maintenance workshop	Operations Manager	> Delivery of services affected > Reputation undermined	4	> Restricted Access > Trained Staff > Storage of combustibles > contract with local hire company & other authorities > Routine equipment safety checks	2	No further action required	3	Aug-15	No further action required	3	Oct-15
RSK/4	Public injury/death whilst using Council Services > Playgrounds > Sports Pitches > Public Open Spaces > Golf	Service Co-ordinator Parks & Open Spaces	> Financial loss > Reputation > Corporate Manslaughter charge	3	> Regular evidenced inspections carried > Proactive works maintenance programme	2	No further action required other than that already identified	2	Aug-15	No further action required other than that already identified	2	Oct-15
RSK/5	Deficiencies in Health & Safety Policies/Procedures > injury or death to employee	Operations Manager	> Financial loss > Reputation	3	> Risk assessments completed in > Appropriate training for staff	2	Ongoing review from D Wellings	2	Aug-15	Ongoing review from D Wellings	2	Oct-15
RSK/6	Risk of unmaintained trees wholly or partly falling on persons/property and other infrastructure	Service Co-ordinator Parks & Open Spaces	> Harm or injury to member of public > Reputational damage > Corporate Manslaughter charge	15	An assessment has been carried out on all of the Council's sites regarding the state of the trees and footfall & prioritised accordingly	15	No further action required other than that already identified	15	Aug-15	No further action required other than that already identified	15	Oct-15
RSK/7	Inability to provide statutory burial service	Service Co-ordinator Parks & Open Spaces	> Build up of burials waiting to take place > Reputational risk and damage > Loss of income > Failure to provide statutory service	4	> Liaison with contractors to provide back up service if > Open communication with funeral directors and hospitals	4	No further action required other than that already identified	4	Aug-15	No further action required other than that already identified	4	Oct-15

OPERATIONAL RISK REGISTER

SERVICE: Business Transformation

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions/controls	Revised Risk Score	Further required actions/controls	Last Review Date	Revised Risk Score	Last Review Date
RSK/1	Key objectives not delivered due to capacity issue (e.g. Insufficient HR)	Contract & Corporate Project Manager	<ul style="list-style-type: none"> > Slippage on key projects/initiatives > Deadlines and targets not met > Lack of focus > Workloads increase > staff de-motivated 	10	<ul style="list-style-type: none"> > Monitor recruitment process > Review the external market > Sickness levels monitored 	10	<ul style="list-style-type: none"> 1) Partnership/resource arrangements in place 2) Regular review of associated plans and timescales 	10	<ul style="list-style-type: none"> 1) Partnership/resource arrangements in place 2) Regular review of associated plans and timescales 	Aug-15	10	Oct-15
RSK/2	Loss or theft of data >Data held by the Council ends up in inappropriate hands	Contract & Corporate Project Manager	<ul style="list-style-type: none"> > Breach of corporate governance > Increased costs and legal implications > Reputation damage 	20	<ul style="list-style-type: none"> > Data compliance policies in place > E-learning courses available > Technology to stop breaches are in place 	12	<ul style="list-style-type: none"> Continue to promote hosted systems ensuring that effective and reliable controls are in place (and defined in relevant contacts) 	10	<ul style="list-style-type: none"> Continue to promote hosted systems ensuring that effective and reliable controls are in place (and defined in relevant contacts). Engaged with Microsoft. 	Aug-15	10	Oct-15
RSK/3	ICT Strategy cannot be implemented due to lack of funding	Contract & Corporate Project Manager	<ul style="list-style-type: none"> > System fails > Lack of service delivery 		<ul style="list-style-type: none"> > Review strategy with HoS > Clear budget parameters 		<ul style="list-style-type: none"> 1) ICT Strategy updated 2) Regular reviews of progress 	10	<ul style="list-style-type: none"> 1) ICT Strategy updated 2) Regular reviews of progress 	Aug-15	10	Oct-15

OPERATIONAL RISK REGISTER

SERVICE: FINANCE

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Treasury Management > Reduction in investment interest > Transactions undertaken which are outside the terms of the Treasury Management Policy	Financial Services Manager	Negative impact on the budget Higher risk transactions e.g. Unapproved Counterparty	16	> Treasury Management Policy that is reviewed yearly and monitored regularly > Ensure staff are well trained and adequate cover in place	9	No further action required other than that already identified	4	Aug-15	No further action required other than that already identified	4	Oct-15
RSK/2	Changes in legislation which jeopardize the Council's financial reporting position	Financial Services Manager	> Failure to produce accounts > Accounts not signed off by the External Auditors > Staff time and costs > Reputational damage	15	> Regular liaison with our External Auditors and attendance at relevant training seminars	8	No further action required other than that already identified	8	Aug-15	No further action required other than that already identified	8	Oct-15
RSK/3	Insufficient development of the Financial Management System	Financial Services Manager	> Delay to realising system benefits resulting in inefficient use of staff time and lack of realised savings	12	> Effective project management and regular monitoring	6	Using CP has been made simpler for budget managers. Further training in August	4	Aug-15	Using CP has been made simpler for budget managers. Budgeting option has also been added and training provided to budget managers.	4	Oct-15
RSK/4	Loss of key staff	Financial Services Manager	> Reduced quality of output > Errors/omissions > Additional costs incurred for Interim cover > Negative impact on remaining staff	8	> Good communications > Succession planning	6	Interim resources in place for Maternity cover. Principal Accountant, Financial Accounting has been appointed. Start date to be agreed.	8	Aug-15	Interim resources in place for Maternity cover. Principal Accountant, Financial Accounting has been appointed and started in October	8	Oct-15
RSK/5	Uninsured properties/risks	Financial Services Manager	> Financial and reputational implications in the event of any loss/damages	12	> Regular monitoring and robust annual renewals process	12	Reviewing RM Handbook and providing training on Risk Management in consultation with Zurich	6	Aug-15	This has been implemented.	6	Oct-15

OPERATIONAL RISK REGISTER

SERVICE: FINANCE

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions/controls	Revised Risk Score	Further required actions/controls	Last Review Date	Last Review Date	Revised Risk Score
RSK/6	Failure to maintain adequate internal controls	Financial Services Manager	<ul style="list-style-type: none"> > Increased risk of fraud activity > Inappropriate use of Council resources 	8	<ul style="list-style-type: none"> > Effective Internal Audit arrangements > Staff training 	6	Internal Audit review complete and recommendations implemented.	6	Internal Audit review complete and recommendations implemented.	Aug-15	Oct-15	6
RSK/7	Failure to implement changes to Benefit rules and regulations in a timely manner	Revenues & Benefits Manager	<ul style="list-style-type: none"> > Incorrect levels of Benefits paid to customers > Subsidy claims not signed off > Reputational damage > Claimants could suffer financial hardship/loss 	15	<ul style="list-style-type: none"> > Regular review and implementation of updates from DWP > Robust testing of software changes 	15	No further action required other than that already identified	10	No further action required other than that already identified	Aug-15	Oct-15	10
RSK/8	Failure to meet income collection targets in respect of Council Tax & Business Rates	Revenues & Benefits Manager	<ul style="list-style-type: none"> > Lower than anticipated income will impact on the Council's Medium Term Financial Plan 	12	<ul style="list-style-type: none"> > Regular monitoring > Robust debt recovery procedures 	8	No further action required other than that already identified	10	No further action required other than that already identified	Aug-15	Oct-15	10
RSK/9	Revenues & Benefits Software Conversion	Revenues & Benefits Manager	<ul style="list-style-type: none"> > Unable to pay benefit/support to customers > Unable to bill Ctax & NNDR > Impact on the LA's income > Rev's & Ben's BAU impacted reputational damage > Customers could suffer financial hardship/loss 	15	<ul style="list-style-type: none"> > Robust testing of software changes > Effective project management & regular monitoring > Ensure staff are included, trained and on board and additional resources can be obtained if required > Effective resource planning in place. additional resources are planned & available from Civica & Basildon BC 	15	Ongoing conversion process, we are in line with project plan deliverables, the project is due to complete mid Jan 16	15	Ongoing conversion process, we are in line with project plan deliverables, the project is due to complete mid Jan 16	Aug-15	Oct-15	15

OPERATIONAL RISK REGISTER

SERVICE: HOUSING

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Defective gas installations	Head of Housing	Gas leaks, explosions Reputational impact Financial impact	10	Annual inspection regime - 100% access. Servicing operate on a 10 month cycle to ensure opportunity to take action where access becomes an issue. Legal action taken as necessary to ensure access.	5	We continue to monitor on a monthly basis. Performance at the end of Q1 was 99.84%. The reduction in performance is a result of non-attendance of one property due to tenant being in hospital	10	Aug-15	We continue to monitor our defective gas installations. We are 100% compliant as of the End of Q2	5	Oct-15
RSK/2	Fire in residential or community areas	Head of Housing	Possible death or injury. Residents would have to be relocated Re-homing costs Reputational impact	15	Fire risk assessment programme currently being revised. In certain areas where there are static caretakers and particularly high rise, issues and breaches are recorded and referred to Estates Management.	10	All blocks have been surveyed and works identified. We are currently working with Wates to agree costs. Works will commence once costs have been agreed and leaseholders / Tenants have been consulted.	15	Aug-15	We have identified all works and have allocated funding to proceed with non critical works as of the 16/ 17. All critical works will be completed by the end of the current financial year.	10	Oct-15

OPERATIONAL RISK REGISTER

SERVICE: ASSETS

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Defective gas installations	Strategic Asset Manager	Gas leaks, explosions Reputational impact Financial impact	10	Annual proactive preventative maintenance and servicing to all gas installations. Fire risk assessments and are due to be revised.	4	Jan-15	Gas maintenance contracts in place	4	Aug-15	Gas maintenance contracts in place	4	Oct-15
RSK/2	Fire in Corporate buildings	Strategic Asset Manager	Possible death or injury. Members of the public or staff would have to be relocated Relocation costs Reputational impact	15	Fire risk assessments and are due to be revised.	4	Jan-15	Risk assessment programme ongoing	4	Aug-15	Risk assessment programme ongoing	4	Oct-15
RSK/3	Legionella outbreak in corporate buildings	Strategic Asset Manager	Possible death or serious illness Reputational impact	15	Monthly water monitoring contract in place. Records kept in each building	4	Jan-15	No further action required	4	Aug-15	No further action required	4	Oct-15
RSK/4	Asbestos contamination in corporate buildings	Strategic Asset Manager	Possible death or serious illness Reputational impact	15	Asbestos surveys completed and remedial measures completed	4	Jan-15	Yearly review due	4	Aug-15	Asbestos reviews currently in progress by consultant	4	Oct-15
RSK/5	5 yearly Circuit testing in corporate buildings	Strategic Asset Manager	Possible death or serious injury Reputational impact	15	5 yearly circuit testing completed 2012/13 and remedial measures completed	4	Jan-15	5 Yearly review due 2017	4	Aug-15	Currently in progress by Oakray.	4	Oct-15
RSK/6	Missed rental payments on existing leases and licenses	Strategic Asset Manager	Loss of income and reputational impact	12	Programme of renewing leases and licenses in place	9	Jan-15	A number of negotiations underway with some now resolved	2	Aug-15	Plans in place moving forward for all lease renewals and rent reviews	2	Oct-15

OPERATIONAL RISK REGISTER

SERVICE: CUSTOMER SERVICES

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Customer Access Strategy	Head of Customer Services	Non realisation of savings, (£200k over 3 years) and benefits. Failure to provide effective Customer Services		Customer Access Strategy and Action Plan approved by Finance & Resources Committee on 14th January 2015. Progres to be monitored by CLB.	12	No further action at this stage required.	12	Aug-15	No further action at this stage required.	12	Oct-15

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07 December 2015

Audit, Scrutiny & Transformation Committee

Corporate Complaints Monitoring and Freedom of Information Requests

Report of: *Steve Summers, Head of Customer Services*

Wards Affected: *None*

This report is *Public*

1. Executive Summary

This report is before Members to monitor and review the complaints received through the Council's formal complaints process and provide information on the number of Freedom of Information requests received during the period April to September 2015.

2. Recommendation(s)

2.1 That the Committee notes the complaints received through the Council's formal complaints process and the number of Freedom of Information Requests received.

3. Introduction and Background – Corporate Complaints

3.1 Following a recent review of its complaints procedure the Council has introduced a three stage complaints process which is intended to improve on the previous procedure for customers to take issue with any perceived failure to provide a service, failure to respond to requests or failure to adhere to standards on the part of the Council and its officers.

3.2 The new process itself has three stages. In the first instance, the complaint is forwarded to the service Investigator for a meaningful and informed review. If the complainant is not satisfied with the response then it will be forwarded to the Head of Service for the department concerned to conduct a second stage investigation into the matter. If the complainant is not satisfied with the response from the Head of Services they can request a third stage investigation into the matter. At all stages, the Council aims to respond fully following the investigation within 20 working days.

4. Issue, Options and Analysis of Options

4.1 During 2014/2015 financial year there were 23 complaints for first stage investigation, 43 complaints have been received from April to September in 2015/16.

4.2 The table below shows the breakdown for the financial year 2012/13 to 2014/15 and the complaints received for the period April to September 2015/16.

Stage One

Department	2012/13	2013/14	2014/15	2015/16 April - September
Assets	0	0	2	0
Housing	10	10	11	21
Planning	8	10	4	12
Revenues and Benefits	6	9	2	5
Governance	2	0	0	0
Legal and Debt Recovery	2	3	0	2
Health, Safety and Localism	2	0	1	1
Street Scene & Environment	4	1	3	2
Total	34	33	23	43

4.3 Details of the 43 complaints included

- Housing repair issues
- General housing issues
- Refusal of planning application and pre application advice
- Delay in planning application validation
- Length of process of pre application advice
- Strategic Growth Options Consultation validity

4.4 Eight complaints have progressed to the second stage for the period April to September 2015/2016. The table below shows a comparison for previous years.

Stage Two

Department	2012/13	2013/14	2014/15	2015/16 April - September
Housing	1	2	3	2
Planning	3	3	1	5
Revenues and Benefits	2	3	0	1
Environmental Health	0	0	1	0
Governance	2	0	0	0
Streetscene & Environment	0	0	1	0
Legal	0	1	0	0
Total	8	9	6	8

4.5 Four complaints have progressed to Stage 3 in the period April to September 2015/16, one for Planning and three for Housing.

4.6 Set out in the table below are details of the outcome of the complaints received in the period April to September.

Department	Upheld	Upheld in Part	Not Upheld	Ongoing	Total
Housing	0	6	13	2	21
Environmental Health & Licensing	1	0	0	0	1
Legal	0	0	1	1	2
Planning	1	1	5	5	12
Parking	1	0	0	0	1
Operational Services	0	0	1	0	1
Revenue & Benefits	0	0	1	4	5
Total	3	7	21	12	43

4.7 However, it is inevitable that there will be a proportion of cases where the complainant is unhappy with the outcome. If the complainant remains dissatisfied following the Stage 3 response, it would be appropriate for them to approach the Local Government Ombudsman should they choose to do so.

4.8 In 2014/15 three complaints had progressed to the Local Government Ombudsman. A comparison with previous years is included in the table below. Up to September 2015/16 there has been 2 complaints made to the Local Government Ombudsman.

Department	2012/13	2013/14	2014/15	2015/16 April - September
Housing	1	2	1	1
Planning	2	3	0	0
Revenues and Benefits	0	2	1	1
Building Control	1	0	0	0
Governance	0	0	1	0
Total	4	7	3	2

5. Freedom of Information Requests

5.1 The Freedom of Information Act 2000 provides public access to information held by public authorities. It does this in two ways:

- Public authorities are obliged to publish certain information about their activities; and
- Members of the public are entitled to request information from public authorities.

Recorded information includes printed documents, computer files, letters, emails, photographs, and sound or video recordings. The Act does not cover access to individual's own personal data, such request need to be made under the Data protection Act 1998.

5.2 Set out in the table below is a breakdown by department of the number of Freedom of information Requests received in 2014/15 and for the period April to September 2015/16. This information is available for public viewing on the Council's website. The total number of requests received in 2012/13 was 432 and in 2013/14 was 661.

Department	2014/15	2015/16 April - September
Revenues and Benefits	164	69
ICT	31	17
Corporate Services	103	40
Environmental Health	73	41
Housing	49	38
Streetscene	86	32
Finance Services	47	21
Built Environment	44	19

Community Services	18	3
Democratic Services	7	4
Total	622	284

6. Implications

Financial Implications

Name & Title: Chris Leslie, Finance Director

Tel & Email 01277 312712/chris.leslie@brentwood.gov.uk

6.1 There are no direct financial implications arising from this report.

Legal Implications

Name & Title: Christopher Potter, Monitoring Officer

Tel & Email: 01277 312860/christopher.potter@brentwood.gov.uk

6.2 None - although a robust complaints mechanism contributes towards good governance.

7. Background Papers (include their location and identify whether any are exempt or protected by copyright)

7.1 None.

8. Appendices to this report

8.1 None.

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7 December 2015

Audit, Scrutiny and Transformation Committee

Work Programme 2015/16

Report of: *Chris Leslie, Finance Director*

Wards Affected: *All*

This report is: *Public*

1. Executive Summary

- 1.1 The work of the Audit, Scrutiny and Transformation Committee will be delivered both by Members working in groups and through formal Committee reports. The Audit, Scrutiny and Transformation Committee will make recommendations to decision making committees and Council as necessary. The Audit, Scrutiny and Transformation Committee is invited to consider its 2015/16 work programme.

2. Recommendation(s)

- 2.1 That the Audit, Scrutiny and Transformation work programme 2015/16 at appendix A be approved.**

3. Introduction and Background

- 3.1 At the beginning of the municipal year, the Audit, Scrutiny and Transformation Committee agreed its work programme.
- 3.2 Committee members are invited by the Chair and Vice-Chair to propose topics for inclusion on the work programme.
- 3.3 The Audit, Scrutiny and Transformation Committee will have particular regard to the Budget, Corporate Plan, Forward Plan, Council policy and significant national issues. The Committee will also seek to include the scrutiny of external facing matters that are of significant interest to local communities.
- 3.4 The work programme of the Audit, Scrutiny and Transformation Committee should not include management or staffing issues which are the responsibility of the Head of Paid Service.

4. Issue, Options and Analysis of Options

- 4.1 The Scrutiny function works best when the committee undertakes its work both in member groups and by receiving formal committee reports. The benefits of a Task and Finish approach were outlined at the 29 June 2015 meeting of the Committee.
- 4.2 During its meeting on 29 June 2015 in addition to the proposed work programme the Committee agreed to add the following:
- Training for Members in relation to IT transformation and data security to be added to the agenda for September 2015;
 - Review of the Members Code of Conduct with specific reference to, but not limited to member engagement with the media.
- 4.3 On 16 September 2015 Council agreed that progress against the peer review action plan should be monitored by the Audit, Scrutiny and Transformation Committee.
- 4.4 At the 29 September 2015 Committee the work programme was updated, requesting that the Member/Officer Communications / Members Casework Task and Finish Group report back to the Committee in December 2015 as to the feasibility of achieving their objectives. In addition the Committee agreed that future updates be received on Transformation and New Ways of Working.
- 4.5 The current work programme for the Committee is at Appendix A.

5. Reasons for Recommendation

- 5.1 To enact the provisions of Part 4.4 of the Constitution that the Audit and Scrutiny Committee agrees its work programme at each meeting of the Committee.

6. Consultation

- 6.1 This report seeks to consult with the Audit and Scrutiny Committee on its work programme.

7. References to Corporate Plan

- 7.1 The priority area A Modern Council includes an action to improve the Council's governance arrangements, leading to faster, more effective decision-making. An effective scrutiny function is an essential element of that priority.

8. Implications

Financial Implications

Name & Title: Chris Leslie, Finance Director

Tel & Email: 01277 312542 / christopher.leslie@brentwood.gov.uk

8.1 There are no direct financial implications arising from this report.

Legal Implications

Name & Title: Christopher Potter, Monitoring Officer and Head of Support Services

Tel & Email: 01277 312860 / christopher.potter@brentwood.gov.uk

8.2 There are no legal implications at present.

9. Background Papers

9.1 None

10. Appendices to this report

Appendix A – Work Programme 2015/16

Report Author Contact Details:

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Topic	Committee Date	Lead Members	Commentary
Annual Work Programme	29 June 2015	Councillors Kerslake & Murphy	The Chair and Vice-Chair consult the Committee on the scrutiny work programme 2015/16. This will be review at each Committee.
Hackney Carriage Fare Setting Process	29 June 2015	TBC	The Licensing Committee of 13 January 2015 recommended to the Audit and Scrutiny Committee that a cross party Task and Finish Group be established in order to review the process for setting of tariffs in respect of Hackney Carriage fares and advise on a future programme for tariff setting.
Transformation and New Ways of Working	29 Sep 2015	Officer Report	Complete – A report was presented to the Committee.
Budget Scrutiny	29 Sep 2015	Councillors Barrett, Clark, Kerslake & Murphy	The second meeting of the group has been held.
Training for Members in relation to IT transformation and data security	29 Sep 2015	Officer Report	Complete – A report was presented to the Committee.
Member/Officer Communications / Members Casework Task and Finish Group	7 Dec 2015	Verbal Update	It was agreed at the meeting on 29 September that the group would provide an update on the feasibility of achieving its objectives.
Review of the Members Code of Conduct with specific reference to, but not limited to member engagement with the media.	January 2016	TBC	Added to the work programme agenda at the meeting on 29 June 2015.
Revenues and Benefits shared service	7 March 2016	Officer Report	Officer report on the Revenues and Benefits shared service.
Annual Report of the Audit, Scrutiny and Transformation Committee	June 2016	Councillors Kerslake & Murphy	The constitution requires an annual report on the work programme of overview and scrutiny function be prepared for Council.
William Hunter Way lessons learned Task and Finish Group	Oct 2016	TBC	A follow up report to that presented on 28/10/14 should be taken to the Committee in October 2016.
Peer Review Action Plan Monitoring	TBC	Officer Report	Council agreed in September 2015 that progress against the peer review action plan should be reviewed by the Committee.
Transformation and New Ways of Working	TBC	Officer Report	It was agreed at Committee on 29 September 2015 to receive further progress reports.

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Members Interests

Members of the Council must declare any pecuniary or non-pecuniary interests and the nature of the interest at the beginning of an agenda item and that, on declaring a pecuniary interest, they are required to leave the Chamber.

- **What are pecuniary interests?**

A person's pecuniary interests are their business interests (for example their employment trade, profession, contracts, or any company with which they are associated) and wider financial interests they might have (for example trust funds, investments, and asset including land and property).

- **Do I have any disclosable pecuniary interests?**

You have a disclosable pecuniary interest if you, your spouse or civil partner, or a person you are living with as a spouse or civil partner have a disclosable pecuniary interest set out in the Council's Members' Code of Conduct.

- **What does having a disclosable pecuniary interest stop me doing?**

If you are present at a meeting of your council or authority, of its executive or any committee of the executive, or any committee, sub-committee, joint committee, or joint sub-committee of your authority, and you have a disclosable pecuniary interest relating to any business that is or will be considered at the meeting, you must not :

- participate in any discussion of the business at the meeting, of if you become aware of your disclosable pecuniary interest during the meeting participate further in any discussion of the business or,
- participate in any vote or further vote taken on the matter at the meeting.

These prohibitions apply to any form of participation, including speaking as a member of the public.

- **Other Pecuniary Interests**

Other Pecuniary Interests are also set out in the Members' Code of Conduct and apply only to you as a Member.

If you have an Other Pecuniary Interest in an item of business on the agenda then you must disclose that interest and withdraw from the room while that business is being considered

- **Non-Pecuniary Interests**

Non –pecuniary interests are set out in the Council's Code of Conduct and apply to you as a Member and also to relevant persons where the decision might reasonably be regarded as affecting their wellbeing.

A 'relevant person' is your spouse or civil partner, or a person you are living with as a spouse or civil partner

If you have a non-pecuniary interest in any business of the Authority and you are present at a meeting of the Authority at which the business is considered, you must disclose to that meeting the existence and nature of that interest whether or not such interest is registered on your Register of Interests or for which you have made a pending notification.

Audit, Scrutiny and Transformation Committee

The Audit, Scrutiny and Transformation Committee provides advice to the Council and the committees on the effectiveness of the arrangements for the proper administration of the Council's financial affairs, including all relevant strategies and plans, acts as the Council's Overview and Scrutiny Committee with all the powers under Part 3 of the Local Authorities (Committee System) (England) Regulations 2012, and discharges the functions under section 19 of the Police and Justice Act 2006 (local authority scrutiny of crime and disorder matters). Without prejudice to the generality of the above, the terms of reference include those matters set out below.

Audit Activity

- (a) To approve the Annual Internal Audit risk based plan of work.
- (b) To consider the Head of Internal Audit's annual report and opinion, and a summary of Internal Audit activity and the level of assurance it can give over the Council's corporate governance, risk management and internal control arrangements.
- (c) To consider regular progress reports from Internal Audit on agreed recommendations not implemented within a reasonable timescale.
- (d) To consider the External Auditor's annual letter, relevant reports, and the report to those charged with governance.
- (e) To comment on the scope and depth of external audit work and to ensure it gives value for money.
- (f) To consider the arrangements for the appointment of the Council's Internal and External Auditors.

Regulatory Framework

- 1) To maintain an overview of the Council's Constitution in respect of contract procedure rules, financial regulations and codes of conduct and behaviour.
- 2) To review any issue referred to it by a Statutory Officer of the Council or any Council body.
- 3) To monitor the effective development and operation of risk management and corporate governance in the Council.
- 4) To monitor Council policies and strategies on whistleblowing Money Laundering Anti-Fraud and Corruption Insurance and Risk Management Emergency Planning Business Continuity.
- 5) To monitor the corporate complaints process.
- 6) To consider the Council's arrangements for corporate governance and agreeing necessary actions to ensure compliance with best practice.
- 7) To consider the Council's compliance with its own and other published standards and controls.

Accounts

- 1) To review the annual statement of accounts. Specifically, to consider whether

appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.

2) To review the Council's Annual Governance Statement.

3) To consider the External Auditor's report to those charged with governance on issues arising from the audit of the accounts.

Scrutiny

1) To prepare the annual overview and scrutiny work programme taking into account items put forward by members and the Corporate Leadership Board ensuring that such items relate to the Council's functions and corporate priorities.

2) To propose 'place based' or local scrutiny for issues where a local investigative approach with a range of people or organisations is an appropriate way forward.

3) To manage scrutiny resources efficiently and effectively so that the outcomes of scrutiny are likely to lead to real improvements for the people of Brentwood.

4) To establish working groups (in line with agreed protocols) to undertake the work programme, including setting their terms of reference, the reporting arrangements, and to co-ordinate and review the work of the working groups.

5) To receive reports and other evidence from organisations, individuals and partnerships which the committee or working groups considers relevant to their work.

6) To review and/or scrutinise decisions made, or other action taken, in connection with the discharge of any functions of the Local Authority.

7) To deal with those issues raised through the 'Councillor Call for Action' scheme in line with agreed protocols and procedures.

8) To make reports or recommendations to the Local Authority, any committee or sub-committee of the Local Authority, any officer of the Local Authority, or any joint committee on which the Local Authority is represented or any sub-committee of such a committee, with respect to the discharge of any functions of the Local Authority.

9) To review matters of local community concern including partnerships and services provided by 'other' organisations such as the National Health Service and Essex County Council.

10) To make reports or recommendations to the Local Authority, any committee or sub-committee of the Local Authority, any officer of the Local Authority, or any joint committee on which the Local Authority is represented or any sub-committee of such a committee, on matters which affect the Borough of Brentwood or the inhabitants of the Borough of Brentwood.

11) To review and/or scrutinise decisions made, or other action taken, in connection with the discharge by the responsible authorities of their crime and disorder functions.

12) To make reports or recommendations to the Local Authority with respect to the discharge by the responsible authorities of their crime and disorder functions.

13) To be responsible for scrutiny of the Council's strategic and budgetary framework and its implementation.

14) To report annually to Council on the progress of the work programme and to make relevant recommendations.

Transformation

To review and facilitate the transformation of delivery of services.