



Audit and Scrutiny Committee

Agenda

Part One

Council Chamber - Town Hall

Tuesday, 27 January 2015 at 7.00 pm

Membership (Quorum – 3)

Councillors

Cllrs Clark (Chair), Barrett (Vice-Chair), Chilvers, Mrs Hones, Kerslake, Dr Naylor, Sleep and Mrs Squirrell

Committee Co-ordinator: Claire Hayden (01277 312741)

Additional Information:

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.

Substitutes for quasi judicial Committees must be drawn from members who have received training in quasi-judicial decision making. If a casual vacancy occurs on a quasi judicial Committee it will not be filled until the nominated member has been trained.

Rights to attend and speak

Any Member may attend any body to which Council 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.

Point of Order/Personal explanation/Point of Information

8.3.14 Point of order

A member may raise a point of order at any time. The Chair will hear them immediately. A point of order may only relate to an alleged breach of these Procedure Rules or the law. The Member must indicate the rule or law and the way in which they consider it has been broken. The ruling of the Chair on the point of order will be final.

8.3.15 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.

8.3.16 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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Part I

(During consideration of these items the meeting is likely to be open to the press and public)

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only be considered where the Chair is of the opinion that, by reason of special circumstances, which shall be specified in the Minutes, the item should be considered as a matter of urgency.

14 **Local Government Act
1972 - Exclusion of Press
and Public**



Acting Chief Executive

Town Hall
Brentwood, Essex
19.01.2015

Minutes

Audit and Scrutiny Committee Wednesday, 26th November, 2014

Attendance

Cllr Clark (Chair)	Cllr Kerlake
Cllr Barrett (Vice-Chair)	Cllr Dr Naylor
Cllr Chilvers	Cllr Sleep
Cllr Mrs Hones	

Substitute Present

Cllr Mynott (substituting for Cllr Mrs Squirrell)

Also Present

Cllr Aspinell
Cllr Cloke
Cllr Hirst

Officers Present

Ben Bix	Corporate and Democratic Services Manager
Claire Hayden	Governance and Member Support Officer
Jo-Anne Ireland	Acting Chief Executive
Rick Steels	Revenues and Benefits Manager
Steve Summers	Head of Customer Services
Tim Huggins	ICT Manger
Greg Rubins	BDO, Head of Internal Audit
Zoey Foakes	Governance and Member Support Officer
Debbie Hanson	Ernst & Young, External Audit
Liana Nicolson	BDO, Internal Audit
Phil Ruck	Contracts & Corporate Projects Manager
Lorraine Jones	Customer Contact Manager
Richard Hayes	BDO, Internal Audit

301. Apologies for Absence

Apologies were received from Cllr Mrs Squirrell, Councillor Mynott was in attendance as substitute.

302. Minutes of the previous meeting

The Minutes of the Audit and Scrutiny Committee meeting held on 28th October 2014 were approved and signed by the Chair as a correct record.

303. 2013/2014 Annual Audit Letter

The report before members presented the Annual Audit Letter for 2013/14 following the conclusion of the audit work undertaken by Ernst & Young.

A motion was MOVED by Cllr Clark and SECONDED by Cllr Barrett to receive the recommendation in the report.

RESOLVED UNANIMOUSLY:

2.1 To receive the Annual Audit Letter 2013/14.

304. Internal Audit Progress Report

The report before members detailed the progress to date against the internal audit plan that was agreed at the Audit Committee in March 2014 (Min. 394).

The report also included an update on the progress of the implementation of the recommendations raised by the previous internal auditors.

Greg Rubins, Head of Internal Audit, informed the Committee that 4 reports would be presented to the next meeting of the Committee and that the Affordable Housing Audit would be deferred to next year. In its place an audit would commence on the Housing Repairs and Maintenance contract.

The report highlighted priority action points to be followed up at the next Committee meeting.

A motion was MOVED by Cllr Clark and SECONDED by Cllr Barrett to receive the recommendation in the report.

RESOLVED UNANIMOUSLY:

2.1 To receive and note the contents of the report.

305. Fraud Statistics

The report provided Members with details of the work of the Fraud Investigation Team for the period September 2014 through to October 2014. The Committee heard that the number of completed investigations and the subsequent sanctions applied to offenders bore no relation to the number of investigations opened during the same period.

86 referrals of potential fraud had been reported between September 2014 and October 2014. With the exception of 1 potential housing tenancy fraud, 85 of the referrals were for suspected Housing Benefit (HB) and/or Local Council Tax Support (LCTS) fraud.

7 cases were successfully investigated during this period, all for benefit fraud. The Fraud Investigation Team applied sanctions to all 7 cases.

Members commended the work of the Fraud Investigation Team.

A motion was MOVED by Cllr Clark and SECONDED by Cllr Barrett to receive the recommendation in the report.

RESOLVED UNANIMOUSLY:

2.1 Members note the contents of the report.

306. Strategic Risk Review

The Strategic Risk Register had been reviewed and was reported to the Committee for approval. The report before members updated the Committee on recent risk management activity undertaken by the Council.

A motion was MOVED by Cllr Clark and SECONDED by Cllr Barrett to receive the recommendation in the report.

RESOLVED UNANIMOUSLY:

2.1 To agree the Strategic Risk Register and that the risk scores recorded for each risk accurately represented the current status of each risk.

307. Budget Scrutiny Role

The report before Members explained that effective scrutiny could add considerable value to how the Council made decisions on the allocation of resources. This had become increasingly important as the Council continued to set budgets against a background of tough economic conditions and severe funding cuts from Central Government. The medium term financial planning

process would need to address those continued financial challenges and develop a strategic approach to address funding gaps.

The Chair asked that two Members of the administration and two Members of the opposition form the Task and Finish Group for the main four areas of the budget.

Feedback would be reported to the next committee on 27 January 2015.

A motion was **MOVED** by Cllr Clark and **SECONDED** by Cllr Barrett to receive the recommendations in the report.

RESOLVED UNANIMOUSLY:

2.1 That a Task and Finish Group is created to deal with the 4 main areas of the Budget:

- (i) Proposed Savings**
- (ii) Proposed Budget Investment**
- (iii) Working Balance & Reserves**
- (iv) Council Tax**

2.2 That the Task and Finish Group report back to the Audit and Scrutiny Committee on 27 January 2015.

308. William Hunter Way Procurement Task and Finish Group

It was agreed at the Audit and Scrutiny committee meeting 28 October 2014, that a Task and Finish Group be established to review the documentation and communication between consultants; Leadership and Management (L&M) and the Council or any member of the Administration.

The Task and Finish Group was convened and established the following scope:

- To identify whether, through the actions of Members or Officers, the Council had been put at risk of legal action through its relationship with Leadership & Management.
- To investigate whether proper procurement procedures had been followed.
- To identify whether any actions had compromised the integrity of the council or members thereof, particularly if an appointment had been made, official or unofficial.
- To identify whether any actions had breached the constitution.

- To make appropriate recommendations to the appropriate Officers and/or Committees.

Non-voting visiting Member, Cllr Hirst felt that recommendation 2.4 should be removed as it had been resolved unanimously at the previous meeting of the Committee that:

A report be made from Audit and Scrutiny to the Council Meeting on 10 December 2014, including any recommendations arising from the review. (Min 220. Scrutiny Work Programme 2014/15)

After a discussion, a motion was **MOVED** by Cllr Kerlake and **SECONDED** by Cllr Clark to receive the recommendations in the report, subject to the removal of recommendation 2.4.

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

- 2.1 The report be received by the Audit and Scrutiny Committee.**
- 2.2 A unit on public procurement procedures is added to the Councillor training programme to improve understanding and give confidence in processes.**
- 2.3 The Monitoring Officer refers this report to the “Constitution Working Group” who should consider how 3rd parties can interact with both members and officers in the performance of their duties, so that any such contact or communication is not seen to favour the 3rd party or prejudice others who might wish to transact with the Council.**

309. ICT Resilience and Business Continuity - Update

At the Audit & Scrutiny Committee on the 28 October 2014 it was agreed as part of the Scrutiny Work Programme that a report on ICT Resilience and Business Continuity would be received by the Committee for consideration.

ICT Resilience was defined as the ability of the Council’s equipment, machines, or systems to absorb the impact of the failure of one or more components or a significant disturbance in its environment and to still continue to provide an acceptable level of service to users. This encompassed ‘Disaster Recovery’.

Business Continuity was defined as the capability of the Council to continue delivery of services at acceptable predefined levels following a disruptive incident.

ICT Resilience and Business Continuity should always be the subject of regular review and scrutiny, due in the main to the pace of change but was particularly relevant following on from the major incident in May 2014 where ICT service was lost for a number of days.

Cllr Sleep suggested that a visit to the IT recovery site for Members and further training for Members from the ICT Manager, would be beneficial.

A motion was MOVED by Cllr Clark and SECONDED by Cllr Barrett to receive the recommendations in the report.

RESOLVED UNANIMOUSLY:

2.1 Members note the report with regard to the current and proposed arrangements for IT Resilience and Business Continuity.

2.2 That the ICT Manager organise a site visit for interested Members and provides further Member training on ICT Resilience and Business Continuity.

310. Customer Contact Centre

The Committee work programme had been amended to include a report on the Customer Contact Centre. The Customer Services Transformation Outline and Detailed Business Cases which had been agreed in 2013 were appended to the report.

The Detailed Business Case had identified that the Council was offering very traditional outdated opportunities for customers to access its services. The concept of the new Contact Centre was to move away from the traditional reception/telephone service offered by the Council to a new model that offered a wide range of modern and efficient access channels for customers.

The service would consist of three main strands as follows;

- A modern and customer friendly website with increasing options to transact on-line with the Council;
- An effective and efficient telephone service with direct access to trained advisors able to resolve most queries without the need to refer the customer on.
- The Contact Centre would also handle other contact channels such as post, emails, text messaging and social media.

In addition to the customer benefits identified above the Business Case proposed that savings of £250k were to be achieved through a number of methods as set out below;

- Lower transaction costs by encouraging customers to shift to less costly contact channels. e.g. Self-Service

- Increased economies of scale through generic front of house and telephony services, achieved by migrating enquiry handling and related staff roles into the Customer Service, and reducing overall staff numbers required.
- Streamlined processes for more efficient enquiry handling.

The Contact Centre was opened 23 April 2014 as part of a 'soft launch' with a target date for full implementation of 1 April 2015.

Following a review of the Detailed Business Case by Officers it had been established that the proposed savings in 2014/15 would not be achieved. This was due largely to the amount of training and reorganisation required to make the Contact Centre effective and the lack of a Customer Access Strategy and detailed action plan to identify how and when financial benefits would be realised.

With regard to the non-financial benefits set out in the Business Case for 2014/15 the Contact Centre had been implemented and the provision of a new customer services approach continued to progress.

The Customer Contact Centre was handling telephone enquiries and general email enquiries for Streetscene & Environment, Planning & Building Control, Licensing, Housing Estates, Housing Re-registration, Environmental Health and Electoral Services.

A report would be made to the Finance & Resources Committee on 14 January 2015 identifying possible future developments and savings that could be delivered over the medium term. This would include a Customer Access Strategy which would identify channel shift and the types of channels which should be promoted.

A motion was MOVED by Cllr Clark and SECONDED by Cllr Barrett to receive the recommendations in the report.

RESOLVED UNANIMOUSLY:

- 2.1 That Members note the report in relation to the progress of the Customer Contact Centre.**
- 2.2 That the Head of Customer Services report to the Finance and Resources Committee on the Customer Access Strategy includes analysis of different customer access channels, the demographics of the Borough, and customer feedback.**

Termination of Meeting

During the preceding item, in accordance with Rule 28 of Part 4.1. – Council Procedure Rules, the business of the meeting not having concluded by two hours after its start, Members voted to agree to continue with the meeting for a further 30 minutes.

311. Scrutiny Work Programme 2014/15

Non-voting visiting Member, Cllr Aspinell requested that the Committee consider the Assizes Trust as part of the scrutiny work programme although it was not directly under the control of the Council. The Acting Chief Executive explained that the Monitoring Officer already had a meeting arranged for 18 December 2014 where issues relating to the Assizes Trust would be reviewed and that a Scrutiny review would not be necessary unless that meeting required it.

A motion was MOVED by Cllr Clark and SECONDED by Cllr Barrett to receive the recommendation in the report.

RESOLVED UNANIMOUSLY:

2.1 The Audit and Scrutiny Committee agree its scrutiny work programme 2014/15

312. Local Government Act 1972 - Exclusion of Press and Public

There was none.

313. Urgent Business

There was none.

27 January 2015

Audit and Scrutiny Committee

Internal Audit Progress Report

Report of: *Greg Rubins – Head of Internal Audit*

Wards Affected: *All*

This report is: *This report is public*

1. Executive Summary

- 1.1 This report details the progress to date against the internal audit plan that was agreed with in the Audit Committee in March 2014.
- 1.2 The report also includes an update on the progress of the implementation of the recommendations raised by the previous internal auditors and the progress of implementation of recommendations raised in the current year.
- 1.3 The report on Car Park and Golf Club Income is limited assurance in terms of design, and therefore is included as a full report as a supplementary paper to this progress report.

2. Recommendation(s)

- 2.1 To receive and note the contents of the reports.**

3. Introduction and Background

- 3.1 The Audit Committee approved the 2014/15 annual audit plan on 11 March 2014. Progress reports on the delivery of the plan are presented at each Committee meeting.

4. Issue, Options and Analysis of Options

- 4.1 Not applicable.

5. Reasons for Recommendation

- 5.1 To monitor the progress of work against the internal audit plan.

6. Consultation

6.1 Not applicable.

7. References to Corporate Plan

7.1 Good financial management underpins all priorities within the Corporate Plan.

8. Implications

Financial Implications

Name & Title: Jo-Anne Ireland, Director of Strategy and Corporate Services

Tel & Email: 01277 312712 / jo-anne.ireland@brentwood.gov.uk

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

Legal Implications

Name & Title: Chris Potter, Monitoring Officer

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

8.2 There are no direct legal implications arising from this report

9. Appendices to this report

- Appendix A – Internal Audit Progress Report
- Appendix B – Car Park & Golf Club Income

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Brentwood Borough Council
INTERNAL AUDIT PROGRESS REPORT

January 2015

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Definitions of assurance

PROGRESS AGAINST PLAN

Internal Audit

This report is intended to inform the Audit and Scrutiny Committee of progress made against the 2014/15 internal audit plan which was approved by this Committee in March 2014. It summarises the work we have done, together with our assessment of the systems reviewed and the recommendations we have raised. Our work complies with Public Sector Internal Audit Standards. As part of our audit approach, we have agreed terms of reference for each piece of work with the risk owner, identifying the headline and sub-risks which have been covered as part of the assignment. This approach is designed to enable us to give assurance on the risk management and internal control processes in place to mitigate the risks identified.

Internal Audit Methodology

Our methodology is based on four assurance levels in respect of our overall conclusion as to the design and operational effectiveness of controls within the system reviewed. The assurance levels are set out in section 2 of this report, and are based on us giving either "substantial", "moderate", "limited" or "no". The four assurance levels are designed to ensure that the opinion given does not gravitate to a "satisfactory" or middle band grading. Under any system we are required to make a judgement when making our overall assessment.

Work outside of the Internal Audit Plan

No additional work has taken place.

Overview of 2014/15 work to date

Since the previous Audit and Scrutiny Committee in September, we have completed and finalised the reports for:

- Property Management
- Housing System
- Repairs and Maintenance
- Car Park and Gold Club income

The report for Car Park and Golf Club income is limited assurance in terms of design and therefore the full report has been provided to Members of the Audit and Scrutiny Committee.

The report for Partnership Arrangements is currently in draft.

The following audits are in progress:

- Main Financial Systems audit, covering the general ledger, payroll, revenues and housing benefits.
- Capital Projects

All other audits are in the planning stage and will be completed by the end of March 2014.

PROGRESS AGAINST PLAN

Area	2014/15 days	Date work to be undertaken	Progress Update	Assurance - System Design	Assurance - Operating Effectiveness
A Modern Council					
Customer Service	20	Q1	Complete	Moderate	Moderate
Transformation Programme	20	Q4	Planning		
Performance Management	20	Q2	Complete	Moderate	Moderate
Financial systems	95	Q3/4	In progress		
Risk and Governance	20	Q4	Planning		
IT strategy, governance and data security	40	Q4	Planning		
Counter Fraud	15	Q4	Planning		
Car Parking and Golf Income	15	Q3/4	Complete	Limited	Moderate
245					
Area	2014/15 days	Date work to be undertaken	Progress Update	Assurance - System Design	Assurance - Operating Effectiveness
A Safe Borough					
Partnership Working	20	Q1/Q2	Draft report - closing meeting to be held 19/01/15		
20					

PROGRESS AGAINST PLAN

Area	2014/15 days	Date work to be undertaken	Progress Update	Assurance - System Design	Assurance - Operating Effectiveness
A Prosperous Borough					
Capital developments	25	Q3/4	In progress		
	25				

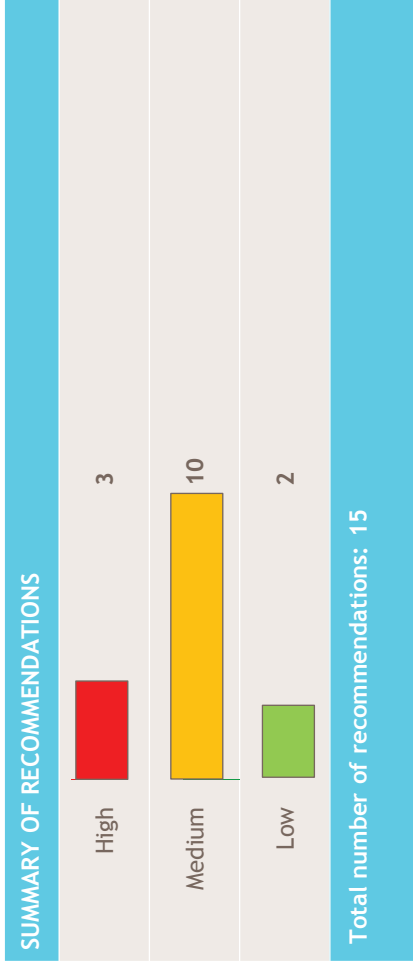
Area	2014/15 days	Date work to be undertaken	Progress Update	Assurance - System Design	Assurance - Operating Effectiveness
Housing, Health and Wellbeing					
Housing systems	30	Q3/4	Complete	Moderate	Moderate
Repairs and Maintenance	20	Q3	Complete	Moderate	Moderate
Property management	20	Q3	Complete	Moderate	Moderate
	70				

PROGRESS AGAINST PLAN

Area	2014/15	Description of the Review
Planning/ liaison/ management	20	
Recommendation follow up	10	We will follow up high and medium priority recommendations raised by the previous internal auditors.
Audit Committee		
Contingency	10	
Total	40	
Total	400	

SUMMARY AUDIT REPORT: Housing System

CLIENT STRATEGIC RISKS	
Risk 9	<p>Lack of strategic direction</p> <ul style="list-style-type: none"> Poor performance management. Poor delivery of priorities. Failure to communicate effectively.
This review relates to the risk that the Council has a lack of strategic direction.	
LEVEL OF ASSURANCE (SEE APPENDIX II FOR DEFINITIONS)	
Design	Moderate Generally a sound system of internal control designed to achieve system objectives with some exceptions.
Effectiveness	Moderate A small number of exceptions found in testing of the procedures and controls.



OVERVIEW

Brentwood Borough Council has rental income from council housing equating to c£11m per year arising from 2,500 council properties. The Housing rents and management of the Council's properties are governed by the Housing Revenue Account (HRA) Business Plan 2014 - 2044. An estimated service charge is invoiced at the start of the year to leasehold properties, a final account is invoiced or a credit note raised by the 30th of September the following year based on actual costs.

Our review found the following areas of good practice:

- There is a high level of engagement within the housing team from all levels of staff and this appeared to be actively encouraged within the department, an example of this was a presentation produced by Tenancy Management team members analysing the factors behind the Council's rent arrears levels and proposing changes that could be implemented to improve the arrears recovery process.
- The HRA business plan setting out the forecast rent charges was sound and in line with government policy. It took into account within the forecasts and projections the new rent increase cap proposed by central government for 2015/16 onwards, of CPI plus one percent.
- There are sufficient controls in place to ensure the correct rent increase letters are produced annually by the Orchard system, including sample checking of the upload of rent uplifts onto Orchard and a sample of the letters produced.

We also found a number of areas for improvement or development:

- The majority of senior officers interviewed during the course of the housing audits were employed on a temporary basis by the Council, they are implementing improvements and providing leadership to the service, however long term leadership is required to see through the improvements that are being implemented and prevent loss of expertise to the department. (High Priority)
- Efforts had been made during the year to increase the accuracy of service charges to lease holders, however we found that for the ground maintenance charge the cost of the service to lease holders could not be accurately ascertained, as it is based on uplifted historical cost data. From discussions with housing officers, it is likely that leaseholders are currently being undercharged for this service. (High Priority)
- There were instances identified where major works to leaseholder property were not communicated to the Temp Admin Lead, which resulted in the Council failing to comply with statutory requirements for consultation, known as section 20, and only being able to recharge a maximum of £250 per property for some major works carried out in 2013/14. The example we reviewed resulted in a potential loss to the Council of £6000 (High Priority)

SUMMARY AUDIT REPORT: Housing System

OVERVIEW

- Significant increases in costs for leaseholders were not identified until the actual service charge letters for 2013/14 were produced, which resulted in some costs being taken by the Council, as they could not reasonably recharge the full amounts to lease holders (Medium priority)
- Service charges are currently a highly manual process, with the calculation carried out on a user generated spreadsheet with manual input and analysis of costs. This results in the process being unnecessarily time consuming. (Medium Priority)
- There is no documented and approved arrears process for service charges (Medium Priority)
- Through enquiries with officers it was confirmed that the upload of the rent uplift data from the test to the live system had been sample checked and approved, however the evidence of this approval was not retained by the Housing Department. Additionally there was no audit trail retained for the sample checking of rent uplift letters produced by the Orchard system. (Medium priorities)

Overall we have provided moderate assurance, which is representative of the fact in most areas the design and effectiveness of controls is adequate, however in some areas there are weaknesses around the processes and control, particularly service charges to leaseholders.

We raised 15 recommendations in total (3 high priority, 10 medium priority and 2 low priority) and an action plan has been agreed to address the recommendations.

SUMMARY AUDIT REPORT: Property Management

CLIENT STRATEGIC RISKS		SUMMARY OF RECOMMENDATIONS (SEE APPENDIX II)	
Risk	9	Lack of strategic direction <ul style="list-style-type: none"> Poor performance management. Poor delivery of priorities. Failure to communicate effectively. 	1
This review relates to the risk that the Council has a lack of strategic direction.			
LEVEL OF ASSURANCE (SEE APPENDIX II FOR DEFINITIONS)			
Design	Moderate	Generally a sound system of internal control designed to achieve system objectives with some exceptions.	3
Effectiveness	Moderate	A small number of exceptions found in testing of the procedures and controls.	2
Total number of recommendations: 6			

OVERVIEW

The properties are managed through the Orchard property management system, which records the status of each house (i.e. occupied or empty and the state of repair) and the income due through rents and service charges. The Council has also implemented a new property management system called Keystone. The council aims to turn around void properties within 23 days of the keys being received, the current average time is 28 days and is reflective of a positive direction from 33 days in the previous quarter.

- Our review found the following areas of good practice:
- Records on the Orchard system are reconciled via the rent uplift spreadsheet to the fixed asset register on an annual basis.
 - Bi-monthly estate inspections have been reintroduced monitoring the outcomes of caretaking and grounds maintenance and issues are communicated to the relevant parties as a result of this. Additionally this ensures that communal areas of estates are kept in a good state of repair. Estates are awarded an overall score and this is monitored.
 - The housing department holds monthly KPI meetings for void re-lettings. These meetings are inclusive of all relevant staff in the department and as a result the staff are well engaged to deliver the performance indicators and innovation is fostered at all levels.

We also found a number of areas for improvement or development:

- The Void Management Procedure document has not been updated to reflect the new repairs and maintenance contracts introduced in June 2014. Additionally the document does not currently detail the target timescales for each stage of the repairs and maintenance process, resulting in difficulties in monitoring targets and may result in increased re-let times. (High priority)
- The four week notice period for council tenants is by default currently not enforced, resulting in the housing team not being able to prepare for the voids process by inspecting the property prior to tenant departure and to advertise the property on a timely basis. Additionally this may result in more difficulty in recharging council tenants for repairs. (Medium priority)
- The Keystone property management system was fully utilised at the time of the audit, resulting in manual intervention being required in the monitoring of the status of properties. (Medium priority)
- There are not currently regular performance discussions between tenancy management, property management, care taking and grounds maintenance discussing the outcomes of the estate inspections, which would further drive quality and improve services to residents and leaseholders. (Medium priority)

Overall, we have provided moderate assurance, recognising that improvements have been made to the property management process in recent months, but that further changes are required to provide a stronger control environment. We raised 6 recommendations in total and an action plan has been agreed to address the recommendations.

SUMMARY AUDIT REPORT: Repairs and Maintenance

CLIENT STRATEGIC RISKS	
Risk 9	<p>Lack of strategic direction</p> <ul style="list-style-type: none"> Poor performance management. Poor delivery of priorities. Failure to communicate effectively.
This review relates to the risk that the Council has a lack of strategic direction.	
LEVEL OF ASSURANCE (SEE APPENDIX II FOR DEFINITIONS)	
Design	Moderate Generally a sound system of internal control designed to achieve system objectives with some exceptions.
Effectiveness	Moderate A small number of exceptions found in testing of the procedures and controls.

SUMMARY OF RECOMMENDATIONS	
High	1
Medium	3
Low	-
Total number of recommendations: 4	

OVERVIEW

In June 2014 the majority of repairs and maintenance was consolidated into three contracts with Wates Living Space (General Building), Oakray (Mechanical and Electrical) and Precision (Lifts). The contract is structured on a per property basis for works within the scope of the fixed price. Out of scope and void works are on a per job basis, the majority of which is governed by agreed pricing structures.

Our review found the following areas of good practice:

- The new process has simplified and streamlined the repairs and maintenance reporting and monitoring.
- The KPIs built into the contracts are appropriate and with adequate monitoring will ensure that a high quality service is delivered to residents.
- There is regular monitoring of the performance of contractors with fortnightly monitoring meetings when the new system was introduced; this will be reduced to monthly as the process is embedded.
- There was evidence that the contracts went through a sufficiently competitive and well structured tender process to ensure the Council received value for money. The final choice of contractors was approved by the Communities Committee. Note that a full review of the tender was not undertaken as this was outside the scope of this audit.
- 20% of the housing stock is surveyed on an annual rotational basis, planning for works to take place on the following year. There is a maintenance plan in place that applies requirements for the decent homes standard.

We also found some of areas for improvement or development:

- Very few of the new repairs and maintenance processes and controls are formally documented currently, as a result the processes are highly dependent on the leadership of the Interim Property Manager and are not always evidenced and consistently applied. As such we were unable to sample test invoices for approval of works schedules and confirmation that orders were raised prior to works being carried out. (High Priority)
- It was noted through discussions with the Interim Property Manager that the IT link between the Contractors and the Council's Orchard system was still not live at the time of the audit, resulting in repairs having to be manually uploaded. (Medium Priority)
- The Council is currently only able to contact a small number of tenants for customer satisfaction surveys. In August 3% of tenants were contacted and in September 7% were contacted. This is below the 10% level as set out in the tender process, as calls are being made during the day when Tenants are not at home. (Medium Priority)

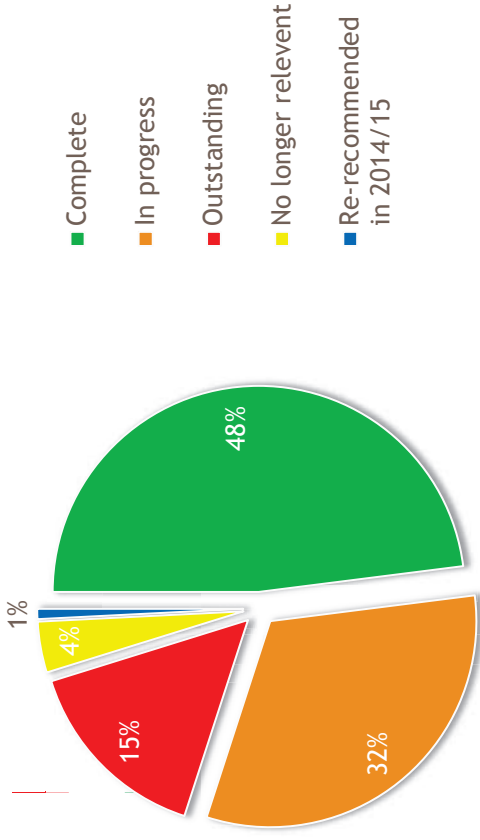
Overall we were able to provide a moderate assurance over the design of the controls and their operating effectiveness. We raised 4 recommendations in total (1 high priority and 3 medium priority) and an action plan has been agreed to address the recommendations.

FOLLOW UP ON RECOMMENDATIONS - 2013/14

Follow up of prior year recommendations

We have followed up and gained evidence on the progress made against the high and medium recommendations raised during 2013/14 by the previous internal auditors, which are due to be completed before this Audit and Scrutiny Committee.

The diagram on the right shows the percentage of recommendations in progress and implemented. We will continue to monitor the status of these recommendations. There still remains 10 high priority recommendations are either in progress or outstanding. We have re-recommended 1 recommendation in 2014/15.



	Number	Percentage
Complete	60	48%
In progress	40	32%
Outstanding	19	15%
No longer relevant	5	4%
Re-recommended in 2014/15	1	1%
Total prior year recommendations	125	100%

Recommendations not Implemented

Audit	Recommendation made	Priority Level	Council Comments	Manager Responsible	Due Date	Internal Audit Comments
Data/ Information Security	Review and Update of Incident Management Policy - The Incident Management policy should be fully updated to ensure all job titles are current and up to date and that there is full coverage on how to deal with a loss or breach of data. This review should include: ensuring job roles in the policy align to those in BBC; the who and how of the incident management team should be defined; review if the BERR Process is suitable for BBC to handle and if not, what should be done about the elements that are not; and there should be included details on how to handle and report an information breach or loss as well as a technical security incident.	H	The Executive support officer has been in post for two weeks - work will be underway to update the policy.	Laura Needham (formally Lee Taylor)	31/03/14	From discussions with the new Executive officer we noted that work was underway to identify the policies that require updating. No further updates have been received. We will continue to follow up on this recommendation.
Business Continuity	Formalised Timetable for Plan Testing - A formal timetable of testing should be put in place covering different aspects of the plans to ensure it will function correctly if required. This testing and the results can then inform any plan revisions and amendments.	H	Testing of Business Continuity plans will only commence once all plans have been revised and managers made aware of their respective roles and responsibilities. Testing of the plans will occur by 30/07/2015.	Ashley Culverwell	15/05/14	We will follow up on this recommendation in August 2015, once the plans have been revised.
Business Continuity	Centralised Committee of BCP Owners - There should be established a regular (suggest quarterly or six monthly) meeting of plan owners to discuss changes to plans in relation to organisational changes and ensure best practice is shared.	H	Once all plans are completed then plan-owner meetings are to be arranged. Plans will be discussed by 31/05/2015 and ahead of testing.	Ashley Culverwell	31/05/14	We will follow up this recommendation in June 2015, once the plan owners have been identified.

Recommendations in Progress

Audit	Recommendation made	Priority Level	Council Comments	Manager Responsible	Due Date	Internal Audit Comments
Planning Applications & Enforcement	Procedures (1) - The Planning Charters should be reviewed and updated in line with current legislation and the latest planning procedures. An up to date Validation Checklist should be produced and used by all staff responsible for validating and processing a planning application. The checklist should be signed and dated when the application has been assessed as valid. The procedures should be periodically reviewed and updated if necessary with the date of review recorded on the document.	H	The new administrative processes have been implemented as far as the core planning application processing is concerned. The renewed focus on these has contributed to much improve performance in processing times. However, there are several areas of less priority that have suffered as a consequence. For example, back scanning of applications has been delayed and needs to be addressed corporately.	Tony Pierce	30/04/13	From discussions with Tony Pierce we confirmed that the Planning Charters are going to be reviewed in November. A Validation Checklist has not been completed - There have been changes to the national regulations so a checklist has not been completed. It was noted that information requirements would be more useful than a checklist as all plans are different and therefore a one size fits all checklist would not be suitable. No further updates have been received. We will continue to follow up on this recommendation.
Planning Applications & Enforcement	Procedures (2) - The Council should continue the efforts to fill the vacant posts and prioritise existing resources appropriately.	H	The Council should continue the efforts to fill the vacant posts and prioritise existing resources appropriately.	Tony Pierce	30/08/12	We can confirm from discussions with Tony Pierce that at present there are 6 vacancies. For 5 vacancies staff have been employed and are waiting to start, however 1 vacancy has not been filled and the vacancy closing date has passed. Planning are currently suffering from a high turnover of staff. No further updates have been received. We will continue to follow up on this recommendation.

Recommendations in Progress

Audit	Recommendation made	Priority Level	Council Comments	Manager Responsible	Due Date	Internal Audit Comments
Data/ Information Security	Update Information Policy Set - All the policies should be fully reviewed and amended in line with BBC job roles, procedures, localised processes and abilities. The most current version, version 6, should be reviewed and made local to BBC and then published and publicised to staff.	H	Policies reviewed and currently in draft	Laura Needham (formally Lee Taylor)	31/03/14	At the time of the review we were not provided with the policy, as a result we were unable to verify if the policy was at a draft stage. No further updates have been received. We will continue to follow up on this recommendation.
Planning Enforcement	Planning Enforcement Policy - The Draft Planning Enforcement Policy should be updated to ensure that all amendments are addressed. The policy should be presented to members for consideration and agreement and produced as a final version when approved. The targets and timeframes endorsed within the Draft Planning Enforcement Policy should be embedded within the Councils working practices. It should be ensured that robust version control is maintained and any changes are formally documented.		A draft planning enforcement plan has been approved and published setting out revised targets and response times for investigation. As part of implementation of the plan, it is hoped that all future reporting of cases will be through the public website. However, this requires the purchased middleware between the web site and Uniform to be implemented. Once this is done, monitoring of performance using Uniform can be put into place, including key indicators set out in the draft planning enforcement plan.	Tony Pierce	30/09/14	The Planning Enforcement Policy has been drafted and is going to committee in November for sign off. However, for this policy to be effective the officer delegation must be changed as this is out of date. In addition, middleware software must be purchased in order to input the information from the website to Uniform. As middleware software is yet to be purchased records are not comprehensive. No further updates have been received. We will continue to follow up on this recommendation.

Recommendations in Progress

Audit	Recommendation made	Priority Level	Council Comments	Manager Responsible	Due Date	Internal Audit Comments
Business Continuity	<p>Revision of BC Plan - The template and supporting guidance should be fully revised prior to an organisational refresh of BC arrangements. This review should include: key contacts in relation to BCP; staff roles throughout the Council; Evacuation arrangements and alternative accommodation; Current P-Card holders; and Details of virtual communications. As part of a refresh and review of the BC plans, once the correct plan managers are in place, a review of the battle boxes and their contents should be undertaken. It should be noted that it is not sufficient to have a battle box available only online as there needs to be information available in the event of a loss IT and/or power. The 42 other staff should be identified or removed from the BIA.</p>	H	<p>The Brentwood Business Continuity Plan is being totally revised along with the individual service plans which are not fit for purpose. The plans will follow the systemised approach taken by Braintree DC. The location and contents of all battle boxes have been checked and a contents list has been provided to all Heads of Service. New battle boxes have been obtained where an y have been found missing.</p> <p>The Brentwood BCP will be completed by 30/04/2015 together with all service BCP's.</p>	Ashley Culverwell	30/06/14	<p>From review of the Business Continuity work plan we can confirm that work is underway to revise the council's business continuity arrangements. We have also noted that the battle box content record was circulated to all managers on the 7th May 2014.</p> <p>We will follow up this recommendation in May 2015 to ensure that the Business Continuity Plan has been revised and is complete.</p>

Recommendations in Progress

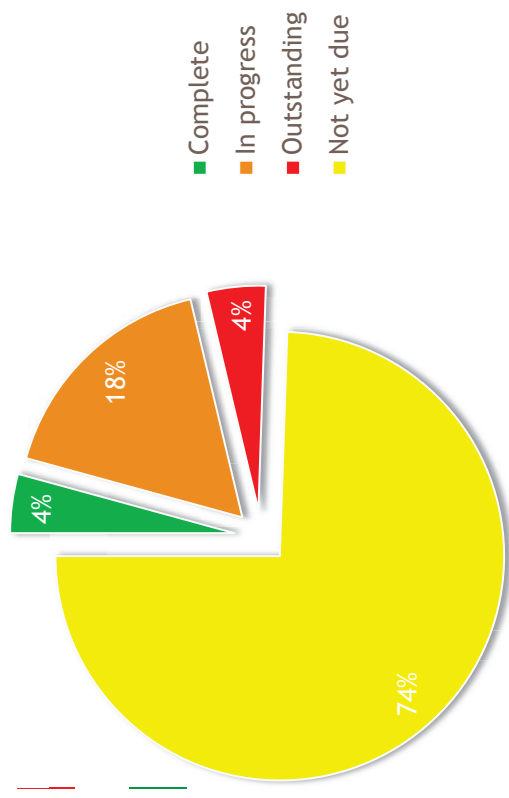
Audit	Recommendation made	Priority Level	Council Comments	Manager Responsible	Due Date	Internal Audit Comments
Business Continuity	Detailed IT BCP - The IT BC plan should contain far more detail on restoring the IT and infrastructure. This should include the where and how computers can be sourced and paid for, how many as a minimum would be required in what circumstances, who has the ability to work remotely and how people (including how many) can be set up quickly in the time of a BC event to do so. Similarly, the use of the Brentwood Centre needs to be detailed with the amount of people that could be supported there, how many points and ports are available, etc. to enable priority planning over who should get the facilities available.	H	Once all plans are completed then plan-owner training is to be arranged.	Ashley Culverwell	30/09/14	We will check progress in April/May 2015.
Business Continuity	Centralised Record of BC Priorities - Once all plan priorities have been reviewed and revised, there should be out in place one overarching plan for BBC that can be accessed in the time of an event affecting all or several parts of BBC that shows the priorities for the whole Council to enable the correct prioritisation of resources.	H	An overarching plan is currently in development. The Brentwood Business Continuity Plan will be completed by 30/04/2015 together with all service Business Continuity Plans.	Ashley Culverwell	31/08/14	From discussion with the Environmental Health manager we can confirm that the overarching plan is being developed, which the individual plans will be informed by. We will follow up this recommendation in May 2015 to ensure that the Business Continuity Plan has been revised and is complete.

FOLLOW UP ON RECOMMENDATIONS - 2014/15

Follow up of current year recommendations

We are constantly monitoring the recommendations raised during 2014/15 and have followed up on the recommendations that have become due since the completion of our review.

The diagram on the right shows the status of the recommendations raised, in progress and implemented. We have raised 11 high priority recommendations during 2014/15, 3 of which are in progress and 7 are not yet due. The 2 recommendations that are outstanding and not yet implemented are medium priority recommendations.



	Number	Percentage
Complete	2	4%
In progress	8	18%
Outstanding	2	4%
Not yet due	35	74%
Total current year recommendations	47	100%

KEY PERFORMANCE INDICATORS

Performance measures for internal audit

Coverage		
Audits completed against the Annual Audit Plan.		We expect to complete the audit plan by the end of the financial year. Six audits are complete and two are in progress. All other audits are currently being planned.
Actual days input compared with Annual Audit Plan.		All days are in line with the plan.
Reporting		
Issuance of draft report within 3 weeks of fieldwork 'closing' meeting.		All draft reports have been issued within 3 weeks of the closing meeting.
Finalise internal audit report 1 week after management responses to report are received.		All draft reports have been finalised within 1 week of management responses being received.
Relationships and customer satisfaction		
Customer satisfaction reports - overall score at least 70% for surveys issued at the end of each audit.		Good feedback has been received on all audits completed.
Annual survey to Audit Committee to achieve score of at least 70%.		A year end customer satisfaction questionnaire will be issued to key stakeholders, the results of which will be included in our year end plan.
Staffing & training		
At least 60% input from qualified staff.		100% of staff working on the Customer Services and Housing reviews have been qualified. 60% of qualified staff have been used on the audits.
Audit Quality		
Reliance on work by EY where appropriate.		Not applicable at this stage.
Positive result from any external review.		Not applicable at this stage.

KEY PERFORMANCE INDICATORS

Performance measures for management and staff

<p><i>Response to reports</i></p>	
<p>Audit sponsor to respond to terms of reference within one week of receipt and to draft reports within two weeks of receipt.</p>	<ul style="list-style-type: none"> Partnership Review: Terms of reference was agreed by the audit sponsor within two weeks of receipt. Draft report not yet issued as audit work is in progress. All other terms of reference and draft reports have been agreed within the timescale.
<p><i>Implementation of recommendations</i></p>	
<p>Audit sponsor to implement all audit recommendations within the agreed timeframe.</p>	<p>Not applicable at this stage.</p>
<p><i>Co-operation with internal audit</i></p>	
<p>Internal audit to confirm to each meeting of the Audit Committee whether appropriate co-operation has been provided by management and staff.</p>	<p>Appropriate co-operation has been provided by management and staff to date.</p>

SECTOR UPDATE

Publications and articles

- The provisional Local Government 2015/16 Finance settlement allocations have been published and can be found on the following link: <https://www.gov.uk/government/publications/key-information-for-local-authorities-and-non-domestic-rates-pools-provisional-local-government-finance-settlement-2015-to-2016>
- The following CIPFA publications have recently been issued:
 - **Accounting for Collaboration in Local Government (including Group Accounts Workbook):** This fully updated publication incorporates the previous Group Accounts Workbook and now covers the accounting implications of other collaborative arrangements that authorities might enter into that are outside the scope of group accounts, such as joint operations and shared services. <http://www.cipfa.org/policy-and-guidance/publications/a/accounting-for-collaboration-in-local-government-book>
 - **Outcomes and Public Service Delivery:** There is a noticeable increase in the use of outcome-based approaches to public service delivery and accountability both at national and local levels. This guide will be useful for people working with or in organisations delivering public services, including managers and officers interested in outcomes based approaches to service delivery, and in commissioning services. <http://www.cipfa.org/policy-and-guidance/publications/o/outcomes-and-public-service-delivery-book>
 - **It's a Risky Business - 2014 Edition:** This publication provides practical guidance, using case studies and examples drawn across the sector, to meet the standards and to continue to make a valuable contribution to risk management. <http://www.cipfa.org/policy-and-guidance/publications/i/its-a-risky-business-2014-edition-book>
- The following NAO Reports have recently been issued:
 - **Public Health England's grant to local authorities:** The National Audit Office (NAO) has recently published a report that finds that Public Health England (PHE) has made a good start in supporting local authorities with their new responsibilities for public health. The NAO considers however that it is too early to tell whether PHE's approach is achieving value for money. <http://www.nao.org.uk/report/public-health-englands-grant-to-local-authorities/>
 - **Financial sustainability of local authorities 2014 and The impact of funding reductions on local authorities:** The National Audit Office (NAO) has recently published two complementary reports examining local authority finances: *Financial sustainability of local authorities 2014* and *The impact of funding reductions on local authorities*. The NAO finds that local authorities have coped well with reductions in government funding, but some groups of authorities are showing clear signs of financial stress. Over a quarter of single tier and county councils (those authorities responsible for social care and education) had to make unplanned reductions in service spend to deliver their 2013-14 budgets. The NAO also found that there is significant variation in the way that authorities have responded to the funding reductions. <http://www.nao.org.uk/report/financial-sustainability-of-local-authorities-2014/>

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APPENDIX I - DEFINITIONS

LEVEL OF ASSURANCE	DESIGN of internal control framework		OPERATIONAL EFFECTIVENESS of internal controls	
	Findings from review	Design Opinion	Findings from review	Effectiveness Opinion
Substantial	Appropriate procedures and controls in place to mitigate the key risks.	There is a sound system of internal control designed to achieve system objectives.	No, or only minor, exceptions found in testing of the procedures and controls.	The controls that are in place are being consistently applied.
Moderate	In the main there are appropriate procedures and controls in place to mitigate the key risks reviewed albeit with some that are not fully effective.	Generally a sound system of internal control designed to achieve system objectives with some exceptions.	A small number of exceptions found in testing of the procedures and controls.	Evidence of non compliance with some controls, that may put some of the system objectives at risk.
Limited	A number of significant gaps identified in the procedures and controls in key areas. Where practical, efforts should be made to address in-year.	System of internal controls is weakened with system objectives at risk of not being achieved.	A number of reoccurring exceptions found in testing of the procedures and controls. Where practical, efforts should be made to address in-year.	Non-compliance with key procedures and controls places the system objectives at risk.
No	For all risk areas there are significant gaps in the procedures and controls. Failure to address in-year affects the quality of the organisation's overall internal control framework.	Poor system of internal control.	Due to absence of effective controls and procedures, no reliance can be placed on their operation. Failure to address in-year affects the quality of the organisation's overall internal control framework.	Non compliance and/or compliance with inadequate controls.

Recommendation Significance	
High	A weakness where there is substantial risk of loss, fraud, impropriety, poor value for money, or failure to achieve organisational objectives. Such risk could lead to an adverse impact on the business. Remedial action must be taken urgently.
Medium	A weakness in control which, although not fundamental, relates to shortcomings which expose individual business systems to a less immediate level of threatening risk or poor value for money. Such a risk could impact on operational objectives and should be of concern to senior management and requires prompt specific action.
Low	Areas that individually have no significant impact, but where management would benefit from improved controls and/or have the opportunity to achieve greater effectiveness and/or efficiency.

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Brentwood Borough Council

INTERNAL AUDIT REPORT

Car Park and Golf Club Income

Audit 6.2014

LEVEL OF ASSURANCE	
Design	Operational Effectiveness
Limited	Moderate

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REPORT STATUS	
Auditors:	Richard Haynes Jonathan Parker
Dates work performed:	October - November 2014
Final Meeting Date:	27/11/14
Draft report issued:	27/11/14
Final report issued:	15/01/15

Restrictions of use

The matters raised in this report are only those which came to our attention during the course of our audit and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. The report has been prepared solely for the management of the organisation and should not be quoted in whole or in part without our prior written consent. BDO LLP neither owes nor accepts any duty to any third party whether in contract or in tort and shall not be liable, in respect of any loss, damage or expense which is caused by their reliance on this report.

DISTRIBUTION LIST	
Jo-Anne Ireland	Director of Strategy and Corporate Services
Roy Ormsby	Head of Street Scene

EXECUTIVE SUMMARY

CLIENT STRATEGIC RISKS

Risk	1	Finance pressures • Target levels for income are not achieved.
This review relates to the risk that the Council does not achieve targets set for income.		
LEVEL OF ASSURANCE (SEE APPENDIX II FOR DEFINITIONS)		
Design	Limited	System of internal controls is weakened with system objectives at risk of not being achieved.
Effectiveness	Moderate	A small number of exceptions found in testing of the procedures and controls.

SUMMARY OF RECOMMENDATIONS (SEE APPENDIX II)

High	1
Medium	5
Low	

Total number of recommendations: 6

OVERVIEW

Brentwood Borough Council has car park income of approximately £1.5 million and golf income, through the Hartswood Golf Course, of circa £250K per year. All parking is off street, the majority of which is pay and display, and one multi-storey which is pay on foot.

Our review found the following areas of good practice:

- We sampled 20 collections from the parking machine reports; all cash had been accurately banked, was agreed to reconciliations between the cash banked and the banking sheets filled out by the car parking officers carried out by finance.
- We sampled 11 golf income amounts from the nominal ledger, in all cases we were able to agree these to reconciliations carried out by finance between receipts from the ESP (Golf income system) to the cash banked.
- During the day Golf Club users are required to be logged onto the ESP system, they are given a receipt which is checked by the Starters (staff who maintain the starting times and tee sheets), before giving the player a scorecard.

We also found a number of areas for improvement or development:

- Through discussions with the Payments Officer we identified that there is no set schedule which timetables car park cash collections and therefore she is not aware of which car park's income to expect on any particular day. There are no other mitigating controls in place to ensure that all cash income from car parks banked. It is possible in the current process that if a banking slip was not supplied to finance and the cash not banked, the Council would not be aware if cash went missing. (High Priority)
- Golf income received during twilight play is entirely cash based, and is not recorded on the ESP system when booking players in on arrival, but the takings are recorded on ESP the following morning. (Medium Priority)
- There was no evidence kept to demonstrate that there were two officers involved in the collection, counting and banking of car park income. (Medium Priority)

Overall the level of assurance is limited for design, given there are flaws in the current processes, however sample testing did not indicate any issues arising as a result of the control gaps.

DETAILED FINDINGS AND RECOMMENDATIONS

Risk: Target levels for income are not achieved.			
Ref.	Finding	Sig.	Recommendation
0.A	Through discussions with the Service Co-ordinator - Parks, Countryside, Cemeteries and Open Spaces, we noted that the contract for the Pro-Shop at the Hartswood site had expired, so was due for review.	M	We recommend that the Council look to negotiate a new contract with the Pro-Shop, to ensure that the Council is achieving value for money. Thought should also be given to how the starter roles are delivered as part of this review, and whether this could be provided in a different way through the Pro-Shop.
MANAGEMENT RESPONSE			
Agreed			
RESPONSIBILITY AND IMPLEMENTATION DATE			
Responsible Officer: Roy Ormsby/ Stuart Anderson Implementation Date: 28 February 2015			

DETAILED FINDINGS AND RECOMMENDATIONS

Risk: Cash from car park receipts is misappropriated in the collection and banking processes, resulting in loss of income to the Council.		
Ref.	Finding	Sig. Recommendation
2.A	<p>We discussed the process for car park income with the Car Park Manager and the Payments Officer.</p> <p>Currently finance reconcile the cash received in the bank to the cash collection sheets, and not the audit tickets printed by the ticket machines. There is no set schedule of collections, as such the Payments Officer is not aware of what banking sheets she is expecting on any given day.</p> <p>Potentially cash could be collected from machines, not banked and not included on a banking sheet without the Council identifying the issue.</p>	<p>H</p> <p>It is recommended that the finance team reconcile the cash received through to the online reports produced by the car parking system. This will ensure that all cash collected has been received. This should be evidenced by retaining a spreadsheet confirming that the amounts reconcile.</p> <p>The Payments Officer in finance should be given access and instructions on using the car parks system to facilitate the implementation of this control.</p>
MANAGEMENT RESPONSE		
Agreed		
2.B	<p>It was identified that both officers collecting and carrying out the reconciliation are not signing the sheets sent to finance. It is not possible to confirm whether two officers were present at the collection and counting of the cash or otherwise.</p>	<p>M</p> <p>It is recommended that the banking sheets sent to and filed in finance are signed by both officers carrying out the collection and reconciliation of banking income, to evidence that two officers were present.</p>
MANAGEMENT RESPONSE		
Agreed		
RESPONSIBILITY AND IMPLEMENTATION DATE		
<p>Responsible Officer: Carol Tomlin Implementation Date: 31 January 2015</p>		
RESPONSIBILITY AND IMPLEMENTATION DATE		
<p>Responsible Officer: Carol Tomlin Implementation Date: 31 January 2015</p>		

DETAILED FINDINGS AND RECOMMENDATIONS

Risk: Patrons of the golf course are not paying for access to the golf course and facilities, limiting the income received from the golf course.		
Ref.	Finding	Sig. Recommendation
4.A	<p>From our visit to the golf course, we noted that due to the layout and location of the golf course it is not possible for the Council to ensure that all patrons have paid or are members.</p> <p>As a result it is possible to enter the golf course and start from the second hole, without going through the starting gate next to the pro-shop.</p> <p>We discussed the issue with the Pro Shop Manager, who stated that anecdotally this practice did happen on a regular basis.</p>	<p>The Council should consider carrying out a random spot checks on a regular basis to ensure all users on the course at the time have paid, this may discourage this practice.</p> <p>At least two officers should be present when these checks are performed.</p>
MANAGEMENT RESPONSE		
Agreed		<p>Responsible Officer: Stuart Anderson Implementation Date: 31 March 2015</p>
Risk: Cash from the Golf Club receipts is misappropriated in the collection and banking processes, reducing income received by the council.		
Ref.	Finding	Sig. Recommendation
5.A	<p>During the twilight play at the golf course the pro shop is closed and payments for twilight pay are taken as cash only through the Council's Starters. The Starter's hut does not have access to ESP, so transactions are loaded onto the golf income system the following morning. This could result in cash being misappropriated.</p>	<p>The starters should be given access to ESP so that twilight play customers can be logged through the ESP system.</p>
MANAGEMENT RESPONSE		
Agreed		<p>Responsible Officer: Stuart Anderson Implementation Date: 31 March 2015</p>

DETAILED FINDINGS AND RECOMMENDATIONS

Risk: Cash banked does not match the income recorded by the council.		
Ref.	Finding	Sig. Recommendation
6.A	<p>Through interviewing the Car Park Manager, we were aware of impending changes to the banking process for car park income. The banking was switching to “bulk bagging” where with the new counting machine they were bagging in £500 units rather than the whole day’s takings, this leaves a carry over for the remainder of the cash which would be kept in the safe.</p> <p>When we interviewed the Payments Officer in finance, they were not aware of the changes to bulk bagging and the implications of this on their work.</p>	<p>We recommend that a one-page cash process document is drawn up between finance and the car parks department, including the recommendations above and approach to dealing with carry over, so that everyone knows their responsibilities in the new process.</p> <p>We suggest on the implementation of the new system that the carry over is counted weekly to confirm the income banked plus carry over equals the amount collected from the machines.</p>
MANAGEMENT RESPONSE		
<p>Agreed</p> <p><i>Responsible Officer: Carol Tomlin</i> <i>Implementation Date: 31 January 2015</i></p>		

APPENDIX I - STAFF INTERVIEWED

NAME	JOB TITLE
Roy Ormsby	Head of Street Scene
Carol Tomlin	Car Park Manager
Stuart Anderson	Service Co-ordinator - Parks, Countryside, Cemeteries & Open Spaces
Jennifer Logue	Technical Officer - Cemeteries and Open Spaces
Angela Yavuz	Payments Officer
Lee Adams	Golf Pro Shop Manager

BDO LLP appreciates the time provided by all the individuals involved in this review and would like to thank them for their assistance and cooperation.

APPENDIX II - DEFINITIONS

LEVEL OF ASSURANCE	DESIGN of internal control framework		OPERATIONAL EFFECTIVENESS of internal controls	
	Findings from review	Design Opinion	Findings from review	Effectiveness Opinion
Substantial	Appropriate procedures and controls in place to mitigate the key risks.	There is a sound system of internal control designed to achieve system objectives.	No, or only minor, exceptions found in testing of the procedures and controls.	The controls that are in place are being consistently applied.
Moderate	In the main there are appropriate procedures and controls in place to mitigate the key risks reviewed albeit with some that are not fully effective.	Generally a sound system of internal control designed to achieve system objectives with some exceptions.	A small number of exceptions found in testing of the procedures and controls.	Evidence of non compliance with some controls, that may put some of the system objectives at risk.
Limited	A number of significant gaps identified in the procedures and controls in key areas. Where practical, efforts should be made to address in-year.	System of internal controls is weakened with system objectives at risk of not being achieved.	A number of reoccurring exceptions found in testing of the procedures and controls. Where practical, efforts should be made to address in-year.	Non-compliance with key procedures and controls places the system objectives at risk.
No	For all risk areas there are significant gaps in the procedures and controls. Failure to address in-year affects the quality of the organisation's overall internal control framework.	Poor system of internal control.	Due to absence of effective controls and procedures, no reliance can be placed on their operation. Failure to address in-year affects the quality of the organisation's overall internal control framework.	Non compliance and/or compliance with inadequate controls.

Recommendation Significance	
High	A weakness where there is substantial risk of loss, fraud, impropriety, poor value for money, or failure to achieve organisational objectives. Such risk could lead to an adverse impact on the business. Remedial action must be taken urgently.
Medium	A weakness in control which, although not fundamental, relates to shortcomings which expose individual business systems to a less immediate level of threatening risk or poor value for money. Such a risk could impact on operational objectives and should be of concern to senior management and requires prompt specific action.
Low	Areas that individually have no significant impact, but where management would benefit from improved controls and/or have the opportunity to achieve greater effectiveness and/or efficiency.

APPENDIX III - TERMS OF REFERENCE

BACKGROUND

Brentwood Borough Council operate 11 car parks, these are both short and long stay. Income is received through parking charges, season tickets and penalty notices, totalling circa £1.5m per year. The car parks are run and managed by staff employed by the council.

The Brentwood Golf Centre at Hartswood is operated by the Council, income is through annual memberships, discounted 20 round golf tickets and entry for casual play. Income totals circa £250k per year.

PURPOSE OF REVIEW

The purpose of our review is to evaluate the processes and arrangements in place for the collection, counting and banking of cash income received through the car parks and golf courses.

KEY RISKS

Based upon the risk assessment undertaken during the development of the internal audit operational plan, through discussions with management, and our collective audit knowledge and understanding, the key risks associated with the area under review are:

- The cash received from parking machines does not match the amounts banked.
- Cash from car park receipts is misappropriated in the collection and banking processes, resulting in loss of income to the Council.
- Change floats for car parks are not adequately monitored.
- Patrons of the golf course are not paying for access to the golf course and facilities, limiting the income received from the golf course.
- Cash from the Golf Club receipts is misappropriated in the collection and banking processes, reducing income received by the council.
- Cash banked does not match the income recorded by the council.

SCOPE OF REVIEW

The review will consider the following areas:

- The process in place for the collection, counting and reconciling of cash from car park income.
- The procedures in place to monitor car park change floats.
- The controls in place ensuring all customers of the golf course hold membership or have paid for casual access.
- The process for ensuring receipts for the golf course are complete, reconciled and accurately recorded.
- The controls in place to ensure the cash income recorded matches the records at source.

APPENDIX III - TERMS OF REFERENCE

EXCLUSIONS

Our work will be restricted to the areas of consideration within our scope of the review. The following is specifically excluded:

- The receipt and invoicing of Annual Membership and 20 round golf tickets (Centrally Managed)
- Non-cash sales of car park season tickets and penalty notices.
- Debit/credit card payments for Car Parks or Golf Club casual play tickets.

APPROACH

Our approach will be to conduct interviews to establish the controls in operation for each of our areas of audit work. We will then seek documentary evidence that these controls are designed as described. We will evaluate these controls to identify whether they adequately address the risks.

We will carry out testing on controls identified as required to ensure they are operating effectively.

MANAGEMENT COMMENTS

No management comments have been raised regarding the areas under review.

LOCATIONS

Fieldwork will be performed at the Town Hall, the Car Parks office and The Brentwood Golf Centre as required.

APPENDIX III - TERMS OF REFERENCE

DOCUMENTATION REQUEST

Please provide the following documents in advance of our review (where possible):

- Documentation or details on the cash collection processes for car parking.
 - Details on the monitoring of car park floats
 - Documentation or details on the controls in place to ensure all gold club patrons are members or have purchased a casual play ticket
 - Information on the processes in place at the golf club ensuring that all income is received and banked.
 - Details on the controls in place ensuring the income recognised by the council agrees to source records.
- Any documents provided will assist the timely completion of our fieldwork, however we may need to request further documentation and evidence as we progress through the review process.

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27 January 2015

Audit and Scrutiny Committee

Annual Certification Report 2013/14

Report of: Ernst & Young

Wards Affected: None

This report is: Public

1. Executive Summary

- 1.1 To present the External Auditor's annual report in respect of the Certification of Claims and Returns.

2. Recommendation(s)

- 2.1 Members are requested to note the contents of the Certification of Claims and Returns Annual Report 2013/14.**

3. Introduction and Background

- 3.1 Local Authorities claim large sums of public money in grants and subsidies from Central Government and other grant-paying bodies and are required to complete returns providing financial information to government departments. The Council's External Auditors, Ernst & Young are required to undertake certification work to provide assurances to grant-paying bodies that claims for grants and subsidies are made properly or that information in financial returns is reliable.

4. Issue, Options and Analysis of Options

- 4.1 Attached as Appendix A is the Certification of Claims and Returns Annual Report 2013/14.
- 4.2 Section 1 of this report outlines the results of the 2013/14 certification work and highlights the significant issues.

5. Reasons for Recommendation

5.1 For Members to receive information External Audit work undertaken.

6. Implications

Financial Implications

Name & Title: Jo-Anne Ireland, Acting Chief Executive

Tel & Email 01277 312712 / jo-anne.ireland@brentwood.gov.uk

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

Legal Implications

Name & Title: Chris Potter, Monitoring Officer

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6.2 None.

7. Appendices to this report

- Appendix A – Certification of Claims and Returns Annual Report 2013/14

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Certification of claims and returns annual report 2013-14

Brentwood Borough Council

9 January 2015

Ernst & Young LLP



The Members of the Audit and Scrutiny Committee
Brentwood Borough Council
Town Hall
Ingrave road
Brentwood
Essex
CM15 8AY

13 January 2015

Ref: BBC/Grant report 2013/14

Direct line: 07974 006715

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Dear Members

Certification of claims and returns annual report 2013-14 Brentwood Council

We are pleased to report on our certification work. This report summarises the results of our work on Brentwood Borough Council's 2013-14 claims and returns.

Scope of work

Local authorities claim large sums of public money in grants and subsidies from central government and other grant-paying bodies and must complete returns providing financial information to government departments. In some cases these grant-paying bodies and government departments require appropriately qualified auditors to certify the claims and returns submitted to them.

Under section 28 of the Audit Commission Act 1998, the Audit Commission may, at the request of authorities, make arrangements for certifying claims and returns because scheme terms and conditions include a certification requirement. When such arrangements are made, certification instructions issued by the Audit Commission to appointed auditors of the audited body set out the work they must undertake before issuing certificates and the submission deadlines.

Certification work is not an audit. It involves executing prescribed tests designed to give reasonable assurance that claims and returns are fairly stated and in accordance with specified terms and conditions.

In 2013-14, the Audit Commission did not ask auditors to certify individual claims and returns below £125,000. The threshold below which auditors undertook only limited tests remained at £500,000. Above this threshold, certification work took account of the audited body's overall control environment for preparing the claim or return. The exception was the housing and council tax benefits subsidy claim where the grant paying department set the level of testing.

Where auditors agree it is necessary, audited bodies can amend a claim or return. An auditor's certificate may also refer to a qualification letter where there is disagreement or uncertainty, or the audited body does not comply with scheme terms and conditions.

Statement of responsibilities

In March 2013 the Audit Commission issued a revised version of the 'Statement of responsibilities of grant-paying bodies, authorities, the Audit Commission and appointed auditors in relation to claims and returns' (statement of responsibilities). It is available from the Chief Executive of each audited body and the Audit Commission website.

The statement of responsibilities serves as the formal terms of engagement between the Audit Commission's appointed auditors and audited bodies. It summarises where the different responsibilities of auditors and audited bodies begin and end, and what is to be expected of the audited body in certain areas.

This annual certification report is prepared in the context of the statement of responsibilities. It is addressed to those charged with governance and is prepared for the sole use of the audited body. As appointed auditor we take no responsibility to any third party.

Summary

Section 1 of this report outlines the results of our 2013-14 certification work and highlights the significant issues.

We checked and certified one claim and one return with a total value of £17,955,731. We met all submission deadlines. We issued one qualification letter for the housing benefit claim. Details of the qualification matters are included in section 2. Our certification work found errors which the Council corrected. The amendments had a marginal effect on the grant due.

Fees for certification work are summarised in section 2. The indicative fees for 2013-14 are based on final 2011-12 certification fees, reflecting the amount of work required by the auditor to certify the claims and returns in that year. Fees for schemes no longer requiring certification have been removed, and the fees for certification of housing benefit subsidy claims have been reduced by 12 per cent. This is to reflect the removal of council tax benefit from the scheme.

We welcome the opportunity to discuss the contents of this report with you at the Standards and Audit Committee on 27 January 2015.

Yours faithfully

Debbie Hanson
Director
Ernst & Young LLP
Enc

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1. Summary of 2013-14 certification work

We certified one claim and one return in 2013-14. Our main findings are shown below.

Housing benefits subsidy claim

Scope of work	Results
Value of claim presented for certification	£16,511,928
Limited or full review	Full
Amended	Amended – subsidy due to the Council increase by £18,985
Qualification letter	Yes
Fee – 2013-14	£24,093
Fee – 2012-13	£34,860
Recommendations from 2012-12:	Findings in 2013-14
None	None

Councils run the Government's housing benefits scheme for tenants. Councils responsible for the scheme claim subsidies from the Department for Work and Pensions (DWP) towards the cost of benefits paid.

The certification guidance requires auditors to complete more extensive '40+' or extended testing if initial testing identifies errors in the calculation of benefit or compilation of the claim. We found errors and carried out extended testing in several areas. Non-HRA rent rebates was determined to be a small population and therefore in accordance with certification guidance, all cases were tested (72 cases). The claim was amended for the errors identified.

Extended and other testing identified errors. They resulted in a small net increase on subsidy claimed. We have reported underpayments, uncertainties and the extrapolated value of other errors in a qualification letter. The DWP then decides whether to ask the Council to carry out further work to quantify the error or to claw back the benefit subsidy paid.

The main issues we reported were:

- misclassification of rent rebate overpayments;
- local housing authority rent incorrectly applied, resulting in overstated benefit entitlement; and
- incorrect calculation and misclassification of rent allowance overpayments.

In previous years, the Council has undertaken all the initial and 40+ testing, requiring only minimal re-performance of work by us. However, the Council did not have the capacity to undertake all 40+ testing this year and additionally errors were identified in the testing which was undertaken, requiring increase re-performance. The late identification of these issues resulted in additional audit time being required to complete the work and the claim not being certified until the deadline day.

Pooling of housing capital receipts

Scope of work	Results
Value of return presented for certification	£1,443,803
Limited or full review	Limited
Amended	No
Qualification letter	No
Fee – 2013-14	1,082
Fee – 2012-13	1,450
Recommendations from 2012-13:	Findings in 2013-14
None	None

Councils pay part of a housing capital receipt into a pool run by the Department of Communities and Local Government. Regional housing boards then redistribute the receipts to those councils with the greatest housing needs. Pooling applies to all local authorities, including those that are debt-free and those with closed Housing Revenue Accounts, who typically have housing receipts in the form of mortgage principal and 'right to buy' discount repayments.

We found no errors on the pooling of housing capital receipts return and we certified the amount payable to the pool without qualification.

2. 2013-14 certification fees

From 2012-13 the Audit Commission replaced the previous schedule of maximum hourly rates with a composite indicative fee for certification work for each body. The indicative fees for 2013-14 are based on actual certification fees for 2011-12, reflecting the amount of work required by the auditor to certify the relevant claims and returns in that year. There was also a 40 per cent reduction in fees reflecting the outcome of the Audit Commission procurement for external audit services.

The 2013-14 fee for certification of housing benefit subsidy claims has been reduced from the indicative fee by a further 12% to reflect the removal of council tax benefit from the scheme.

Claim or return	2012-13	2013-14	2013-14
	Actual fee £	Indicative fee £	Actual fee £
Housing benefits subsidy claim	34,860	14,712	24,093 *
Pooling of housing capital receipts	1,450	1,082	1,082
National non-domestic rates return	5,590		
Total	41,900	15,794	24,340

Fees for annual reporting and for planning, supervision and review have been allocated directly to the claims and returns.

* The indicative fee for the housing benefit claim is significantly lower than the prior year outturn. The indicative fee was based on the level of fee in 2011/12, when significant improvements had been made in benefit assessment, all initial and 40+ testing was undertaken by the Council to a high standard and minimal errors were identified. The increase in fee against the indicative reflects the fact that the Council was not able to complete all the 40+ testing required due to capacity issues. We therefore undertook this work. In addition, we identified some errors in the testing which was undertaken by the Council which required us to increase our level of re-performance.

3. Looking forward

For 2014-15, the Audit Commission has calculated indicative certification fees based on the latest available information on actual certification fees for 2012-13, adjusted for any schemes that no longer require certification.

The Council's indicative certification fee for 2014-15 is £30,680. The actual certification fee may be higher or lower if we need to undertake more or less work than in 2012-13 on individual claims or returns. Details of individual indicative fees are available at the following link:

[<http://www.audit-commission.gov.uk/audit-regime/audit-fees/201415-fees-and-work-programme/individual-certification-fees/>]

We must seek the agreement of the Audit Commission to any proposed variations to indicative certification fees. The Audit Commission expects variations from the indicative fee to occur only where issues arise that are significantly different from those identified and reflected in the 2012-13 fee.

DCLG and HM Treasury are working with grant-paying bodies to develop assurance arrangements for certifying claims and returns following the closure of the Commission (due April 2015).

The Audit Commission currently expects that auditors will continue to certify local authority claims for housing benefit subsidy from the Department for Work and Pensions (DWP) under the arrangements developed by the Commission. The DWP has asked the Commission to prepare the auditor guidance for 2014/15. Arrangements for 2015/16 onwards are to be confirmed, but DWP envisages that auditor certification will be needed until 2016/17, when Universal Credit is expected to replace housing benefit.

The Audit Commission has changed its instructions to allow appointed auditors to act as reporting accountants where the Commission has not made, or does not intend to make, certification arrangements. This removes the previous restriction saying that the appointed auditor cannot act if the Commission has declined to make arrangements. During 2013-14 we have not acted as reporting accountants in relation to any schemes for Brentwood Borough Council.

4. Summary of recommendations

This section highlights the recommendations from our work and the actions agreed.

Recommendation	Priority	Agreed action and comment	Deadline	Responsible officer
Housing benefits subsidy claim				
Training for Housing Benefit Assessors should continue and in particular cover overpayment calculation and classification	Medium			

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27 January 2015

Audit and Scrutiny Committee

Budget Scrutiny Feedback

Report of: *Jo-Anne Ireland, Acting Chief Executive*

Wards Affected: *None*

This report is: *Public*

1. Executive Summary

- 1.1 Effective scrutiny can add considerable value to how the Council makes decisions on the allocation of resources. This has become increasingly important as the Council continues to set budgets against a background of tough economic conditions and severe funding cuts from Central Government. The medium term financial planning process will need to address these continued financial challenges and develop a strategic approach to address funding gaps.

2. Recommendations

- 2.1 **That the feedback on the Proposed and Anticipated Savings outlined in para 4.4 is agreed and submitted to Finance and Resources Committee.**
- 2.2 **That the Finance and Resources Committee are requested to provide further information within their future reports on how the funding gaps will be addressed.**
- 2.3 **That the feedback on the Proposed Budget Investments outlined in paras 4.6 and 4.7 is agreed and submitted to Finance and Resources Committee.**
- 2.4 **That the Budget Scrutiny work should commence in September in future years and start with a service review of existing budgets.**
- 2.5 **That the proposed working balance level of £2.1m - £2.2m is supported.**
- 2.6 **That the Council Tax Financial Modelling is presented to the Finance and Resources Committee for consideration.**

3. Introduction and Background

3.1 At the meeting on 26 November 2014, it was agreed that a Task and Finish Group be created to deal with the 4 main areas of the budget:

Work Area	Expected Outcome
1) Review Savings Proposals	<ul style="list-style-type: none">• Evaluate the impact of any savings proposed• Test if the anticipated savings are realistic and achievable
2) Review Budget Growth Proposals	<ul style="list-style-type: none">• Evaluate the impact of any new investment proposals• Confirm that robust business plans are in place for new initiatives (and test the assumptions within them)
3) Review the working balance and reserve levels	<ul style="list-style-type: none">• Review the risk assessments undertaken to inform the levels• Test the levels through benchmarking data with similar authorities
4) Review the Council Tax proposals	<ul style="list-style-type: none">• Evaluate the financial impact of the proposal

3.2 This report considers the initial assumptions and proposals put forward by the Finance and Resources Committee and provides feedback on those proposals. The role of the Audit & Scrutiny Committee is not to review every single figure, but to test the choices made regarding resource allocation and how well resources are being used to deliver policy objectives¹.

3.3 The Finance and Resource Committee will then finalise its proposals for submission by way of recommendation to the Council taking into account the comments from the Audit and Scrutiny Committee. The report to Council must show the Finance and Resource Committee response to these comments.

¹ The current Corporate Plan covers the period 2013 – 2016.

4. Issue, Options and Analysis of Options

4.1 In accordance with the agreed recommendation from November, a Task and Finish Group was formed of the following Members:

- Cllr Gareth Barrett
- Cllr John Kerslake
- Cllr Phil Mynott
- Cllr Noelle Hones

4.2 The Group met on 3 occasions to consider the 4 main areas of:

- I. Proposed and Anticipated Savings
- II. Proposed Budget Investment
- III. Working Balance and Reserves
- IV. Council Tax

4.3 The Finance and Resources Committee presented their initial budget assumptions and proposals to its meeting on 14 January 2015. A copy of the full report can be found at Appendix A.

4.4 *Proposed and Anticipated Savings*

The Group considered the following proposals from Finance and Resources Committee:

	2015/16 £	2016/17 £	2017/18 £	Comments
Recycling – Introduction of Textiles Service	20,440	20,440	20,440	Previous Committee decision.
Open Spaces – Crazy Golf Income from August 2015	13,000	25,000	25,000	Contractual Income.
Street Services – Reduction in Fuel Prices	75,000	75,000	75,000	Are future year's savings sustainable if this contract is not locked.
Car Parks – increased income from Lease arrangement	120,000	120,000	120,000	Impact of any future development proposals may impact on these savings.
Housing - Service/Budget Review	22,000	22,000	22,000	Agreed.
Assets – Anticipated Income from Old House	-	-	64,000	Previous Committee decision.
Assets – Anticipated Income from Warley TC	-	-	42,240	Previous Committee decision.
TOTAL	250,440	262,440	368,680	

	2015/16 £	2016/17 £	2017/18 £	Comments
Senior Management Restructure	100,000	200,000	200,000	Noted that there were some risks to the restructure but that the step change approach was valid.
Customer Services Transformation	100,000	150,000	200,000	More detailed financial targets requested to ensure delivery of savings could be monitored.
Lease Reviews	10,000	10,000	10,000	Question if any additional information was available to inform future year savings (which appear low).
TOTAL	210,000	360,000	410,000	

4.5 In summary, the Group recognised that there was a lot of uncertainty surrounding the outcome of the General Election. As a consequence, this places a huge amount of uncertainty both on future funding levels and also the funding gaps. However, the Group were concerned that the information received to date did not address the £3m funding gap and would therefore hope to see further detail on this in future reports.

4.6 ***Proposed Budget Investment***

The Group considered the following REVENUE proposals from Finance and Resources Committee:

Description	2015/16 Cost £	Future Cost £	Comments
Borough Bulletin – 2 editions per year	2,500	2,500	Agreed that this should be the maximum spend, with any publication being linked to consultation documents in order to maximize the benefit and also share the costs.
Essex Devolution Strategy	5,000	-	Agreed as a prudent investment in order to try and identify Essex wide opportunities.
Apprenticeships	62,250	62,250	Business case and clear resource requirement must be identified prior to appointment. Concerns raised re future employment opportunities and therefore recommended that a future review of this requirement is undertaken.

Local Development Plan – additional costs	50,000	-	Agreed.
Renaissance Group Grant	20,000	-	Agreed for one year only due to financial uncertainty post General Election.
Additional Events	15,000	15,000	Would like clarification on the specific events on offer before a final budget allocation is made. Evaluation of events will be key to future years funding support.
Election Marketing	5,100	-	Clarification on which year this will target to ensure maximum impact and benefit to the Council.
Lone Worker Devices	4,000	4,000	Agreed – essential contract.
TOTAL	163,850	83,750	

4.7 The Group also considered the following CAPITAL proposals from Finance and Resources Committee:

	2015/16 £	2016/17 £	2017/18 £	Comments
Existing Schemes:				
Vehicle Replacement Programme	200,000	150,000	150,000	Detailed schedule to support the figures requested.
Car Park Refurbishment & Upgrade	15,000	-	-	Accepted that this is part of a 2014/15 scheme – requested final costs estimates.
Home Repair Assistance Grants	50,000	50,000	50,000	Would request to see previous year spend patterns to verify this value.
Disabled Facilities Grants	280,000	280,000	280,000	This attracts external funding.
CCTV System Upgrade	5,000	5,000	-	Agreed – small investment for a valuable service.
Play Area Refurbishments	100,000	100,000	100,000	Work programme requested to support the budget. Section 106 monies and locations should also be considered.

Town Hall Remodelling	2,780,890	-	-	Previous committee decision. Would like to see the ICT element shown separately.
TOTAL	3,430,890	585,000	580,000	
New Schemes:				
Brentwood Leisure Centre – filter refurbishment, boilers and air handling	88,280	-	-	Essential works identified through Inspection Report.
Improvements at Brentwood and Shenfield stations	-	200,000	-	Pump priming funds for SELEP bid.
Structural and Safety Works at the Multi Storey Car Park	375,050	663,950	-	Profile essential works and spend. Development study outcome is essential prior to any large investment.
Old House Redevelopment	1,080,000	-	-	Previous Committee decision.
ICT Strategy	100,000	100,000	100,000	More information needed – and must be linked to the spend profile of the £500,000 budget within the Town Hall Project.
Replacement of Folding Machine	2,000	-	*	Agreed.
TOTAL	1,645,330	963,950	100,000	

4.8 The Group raised concerns that their work had focussed on proposed changes and did not provide an opportunity to challenge existing spend levels in order to scrutinise value for money. The Group would therefore like to recommend that in future years their work commences in September with a review of each service area. The Group also commented in general that any spending commitments beyond 2015/16 should be conditional on an evaluation of any lessons learned/project success and delivery of value for money.

4.9 **Working Balance and Reserves**

As part of the budget approved in March 2014, a minimum General Fund Working Balance of £2.5m was agreed. The Group was presented with a Risk Assessment of the potential Reserves level for 2015/16 by the Section 151 Officer. The assessment highlighted that a minimum working balance level of £2.1m – £2.2m was recommended.

- 4.10 The Group requested that higher weighting be placed on the Risk Assessment for potential non-delivery of anticipated savings and further external funding reductions. A revised Risk Assessment then placed the minimum working balance level at just over £2.2m. A copy of the Risk Assessments is attached as Appendix B.
- 4.11 The Group were also provided with comparative data from other Essex Authorities on Working Balance and Earmarked Reserve Levels and this information is attached as Appendix C to this report. The table identifies that even taking into consideration the £1.2m earmarked for William Hunter Way, the Council still maintains a health Working Balance (GF Reserve) when compared to neighbouring Authorities.
- 4.12 The feedback from the Group was that given the level of uncertainty around the future Government Grants and New Homes Bonus Grant Allocations post the General Election that it would be irresponsible to operate a working balance below the £2.1m - £2.2m identified through the Risk Assessment.
- 4.11 **Council Tax**
The Group received data on a range of options including:
- Council Tax Freeze
 - 1% Reduction
 - 1.5% Reduction
 - 2% Reduction
 - 1% Increase
 - 1.5% Increase
 - 2% Increase
- 4.12 The Group recognises that in light of the recent announcement that a limit of 2% on Council Tax will remain in force for 2015/16 and therefore in reality any increase would be limited to 1.99% in order to avoid the costs of a Local Referendum.
- 4.13 The Group also challenged the assumption of an annual increase of 0.5% on the Council Taxbase. Average data for the last 7 years was inconclusive on this point, and the introduction of Localised Council Tax during 2013/14 highlights a reduced Taxbase due to the methodology of the Scheme. It was therefore agreed that the assumption was reasonable.
- 4.13 Attached at Appendix D is the financial modelling of a Year 1 decision followed by a 2 year Council Tax freeze. In view of the General Elections, there is some degree of uncertainty surrounding referendum limits which

would impact on the Council's ability to raise Council Tax in future years. However, in view of the current funding gaps, it was agreed that this model was the most appropriate to consider at this time.

5. Reasons for Recommendation

- 5.1 Effective financial management underpins all of the priorities for the Council.

6. Implications

Financial Implications

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Tel & Email 01277 312712 / jo-anne.ireland@brentwood.gov.uk

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

Legal Implications

Name & Title: Chris Potter, Monitoring Officer

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

- 6.2 There are no direct legal implications arising from this report.

7. Appendices to this report

Appendix A – 14 January 2015 Finance and Resources Committee –
Medium Term Financial Plan Update.

Appendix B – Risk Assessments

Appendix C – Comparative Data on Reserve Levels

Appendix D – Council Tax Financial Model

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14 January 2015

Finance and Resources Committee

Medium Term Financial Plan Update

Report of: Jo-Anne Ireland, Acting Chief Executive

Wards Affected: None

This report is: Public

1. Executive Summary

- 1.1 The Medium Term Financial Plan (MTFP) sets out the key financial management principles and budget assumptions. It is then used as the framework for the detailed budget setting process to ensure that the Council's resources are managed effectively in order to meet its statutory responsibilities and deliver the priorities of the Council, over the medium term.

2. Recommendation(s)

2.1 Members views are requested on the key areas of the initial budget:

- (i) Proposed and Anticipated Savings**
- (ii) Proposed Budget Investment**
- (iii) Working Balance & Reserves**
- (iv) Council Tax**

- 2.2 That the key areas of the initial budget are considered by the Audit & Scrutiny Committee, with comments and feedback to be received by this Committee at its meeting on 11 February 2015.**

3. Introduction and Background

- 3.1 On 5 February 2014, the Local Government Minister, Brandon Lewis MP, made a written statement on the Local Government Finance Settlement 2014/15, which included indicative data for 2015/16.

- 3.2 After taking into consideration the indicative funding, the funding position of the MTFP as approved in March 2014 was as follows:

	2013/14 £	2014/15 £	2015/16 £	2016/17 £
Total Net Forecast Spend	10,273,450	10,349,104	10,213,921	10,512,580
Total Funding	(10,273,450)	(9,980,568)	(9,737,300)	(9,653,160)
Funding Gap / (Surplus)	0	368,536	476,621	859,420
Anticipated Savings	Included above	(450,000)	(680,000)	(680,000)
Net Funding Gap / (Surplus)	0	(81,464)	(203,379)	179,420
Working Balance b fwd	3,648,855	3,648,855	3,730,319	3,933,698
Working Balance c fwd	3,648,855	3,730,319	3,933,698	3,754,278

- 3.3 In addition to the data above, the Council also agreed to set aside funds to support the development of William Hunter Way. A sum up to the maximum value of £1.2 million was earmarked from the Working Balance to support this work. At this level, it was agreed that the potential spend would not erode the minimum Working Balance level of £2.5million agreed for 2014/15.
- 3.4 Members may also recall that at the meeting of Finance and Resources in January 2015, a decision was taken to join an Essex Wide Pool for Business Rates in 2015/16. Membership of the pool has the potential to generate additional income for the Council, with current projections of a potential gain of £99,000 in 2015/16.

4. Issue, Options and Analysis of Options

Autumn Statement

- 4.1 The Chancellor delivered his Autumn Statement on 3 December 2014. The key message for Local Government was that there were no additional funding reductions planned for 2015/16 beyond those already indicated within the indicative settlement figures. However, the Government aims to find a further £10bn of efficiency savings by 2017/18. The delivery of these will be led by the Cabinet Office and are anticipated to focus on the areas of digital take up of public services and improving IT procurement.

4.2 Other messages from the Autumn Statement focused on Business Rates including:

- The Government will carry out a review of the future structure of the Business Rates. Further information on this will be reported by Budget 2016. The review is intended to be revenue neutral and “consistent with the Government’s financing of Local Authorities”.
- The Government agreed to extend Small Business Rates Relief from 2013/14 and to compensate Local Authorities for the loss of Business Rates income. In his Statement, the Chancellor agreed to continue this arrangement for 2015/16.
- Increases in Business Rates will again be capped to 2% from April 2015 instead of using the September Retail Price Index (2.4%). It is anticipated that funding from DCLG will make this revenue neutral for the Council.
- The current £1,000 Business Rates discount to retailers with rateable values below £50,000 will continue in 2015/16 and will increase to £1,500.
- The rules will be changed so that alterations to rating assessments in England can only be backdated to the period between 1 April 2010 and 1 April 2015 for ratepayer’s appeals made before 1 April 2015 and Valuation Office Agency (VOA) alterations made before 1 April 2016.

Draft Finance Settlement

4.3 The information in the Draft Finance Settlement received on 18 December 2014 was as follows:

	2014/15	2015/16 Indicative (Dec 2013)	2015/16 Provisional (Dec 2014)
	£	£	£
Revenue Support Grant	1,719,000	1,250,470	1,258,692
NNDR Baseline Funding	1,478,000	1,518,000	1,505,960
Council Tax Freeze Grant	56,470	56,470	56,485
TOTAL	3,253,470	2,824,940	2,821,137

New Homes Bonus

4.4 For 2015/16, the Council is due to receive £1,455,427 in New Homes Bonus Grant. This is some £58,823 lower than originally anticipated. The profile of the Grant payments are shown below:

	11/12	12/13	13/14	14/15	15/16	16/17 Est	17/18 Est
	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Yr 1	255	255	255	255	255	255	
Yr 2		214	214	214	214	214	214
Yr 3			330	330	330	330	330
Yr 4				416	416	416	416
Yr 5					241	241	241
Yr 6						250	250
Yr 7							250
TOTAL	255	469	799	1,215	1,456	1,706	1,701

The primary reason for the reduction in New Homes Bonus is that the net increase in stock between October 2013 and October 2014 was lower than anticipated with a net increase of 166 properties, compared to 314 in the previous year.

Planning Assumptions

- 4.5 **Inflation (CPI)** - The consumer prices index (CPI) shows a decrease in the forecast for CPI in 2014 of 0.4% and 2015 of 0.8%, compared to Budget 2014:

	2013	2014	2015	2016	2017
Autumn Statement 2014	2.6%	1.5%	1.2%	1.7%	2.0%
Budget 2014	2.6%	1.9%	2.0%	2.0%	2.0%
Autumn Statement 2013	2.6%	2.3%	2.1%	2.0%	2.0%

For medium term financial planning purposes, the inflation rates per Autumn Statement 2014 have been used for goods and services.

- 4.6 **Pay Awards (Inflation)** – National agreement has been reached for a 2 year pay award which will run from 1 January 2015 to 31 March 2016. For Brentwood Borough Council employees this results in a 2.2% increase from 1 January 2015. In addition to this, a one off non-consolidated payment of £150 per employee has been agreed. The terms of this payment are such that it is not added to the basic pay. For financial planning purposes a 1% increase has been included for 2016/17 onwards.
- 4.7 **Fees and Charges** - Historically, the Council has increased fees and charges in line with inflation. This is to reflect that the costs of running the service will rise by the same rate as inflation, and therefore we try and

maintain fees and charges at the same level. The table below shows the recent decisions on Fees and Charges:

Year	Change
2011/12	+1.00%
2012/13	Freeze
2013/14	+2.50%
2014/15	+2.50%
2015/16	Freeze

There is a potential risk that there will be an implicit cost to the proposed freeze since it will not keep pace with the inflationary cost increases, however this cannot be quantified or confirmed until such time as the review of the current charging policies has been undertaken.

Council Tax

- 4.8 In 2014/15, the Council chose to reduce its element of the Council Tax by 1.5%. As a result of this, the Council received a Grant equivalent to a 1% increase (£56,470) which will be received in 2014/15 and 2015/16. Government have pledged to continue with the Council Tax Freeze Grants for 2015/16, but cannot commit anything beyond the General Election.
- 4.9 Limits on any proposed Council Tax increases will remain in place for 2015/16. The provisional announcement is that this is to remain at the current level of 2%.
- 4.10 The current MTFP has been modelled with a 2% reduction for 2015/16, with a freeze for each year thereafter. However, it must be noted that this is not a confirmed decision and a range of modelling options between a 2% reduction and 2% increase will be presented to Audit & Scrutiny for review and comment.

Working Balances and Reserves

- 4.11 As part of the budget approved in March 2014, a minimum General Fund Working Balance of £2.5m was agreed. In accordance with best practice, an annual risk assessment will be undertaken to check the level required for 2015/16. Initial calculations show that the assessed level ranges from £2.1m - £2.5m.
- 4.12 In addition to the General Fund Working Balance, the Council keeps a number of Earmarked Reserves on the Balance Sheet. These Reserves are required in order to comply with proper accounting practice, whilst others have been created to earmark resources for known or predicted

liabilities. The balance of these Reserves as at 1 April 2014 was £3.3 million.

Potential Savings and New Developments

- 4.13 A number of potential savings have been identified during the update and preparation of the MTFP. The key savings are outlined in the table below.

	2015/16 £	2016/17 £	2017/18 £
Recycling – Introduction of Textiles Service	20,440	20,440	20,440
Open Spaces – Crazy Golf Income from August 2015	13,000	25,000	25,000
Street Services – Reduction in Fuel Prices	75,000	75,000	75,000
Car Parks – increased income from Lease arrangement	120,000	120,000	120,000
Housing - Service/Budget Review	22,000	22,000	22,000
Assets – Anticipated Income from Old House	-	-	64,000
Assets – Anticipated Income from Warley TC	-	-	42,240
TOTAL	250,440	262,440	368,680

Anticipated Savings

- 4.14 The MTFP approved in March 2014 included anticipated savings of £680,000 for 2015/16. These were proposed to be delivered through:

	£
Senior Management Restructure	230,000
Contact Centre	250,000
Revenues & Benefits	200,000
TOTAL	680,000

- 4.15 As previously reported to this Committee in October, the Contact Centre Savings were identified to be challenging to deliver in year 1 (2014/15). This will have a consequential effect in the delivery of savings in 2015/16.

In addition to this, the delayed introduction of Universal Credit has resulted in non delivery of the Revenues and Benefits related savings.

4.16 The anticipated savings have now been revised as follows:

	2015/16 £	2016/17 £	2017/18 £
Senior Management Restructure	100,000	200,000	200,000
Customer Services Transformation	100,000	150,000	200,000
Lease Reviews	10,000	10,000	10,000
TOTAL	210,000	360,000	410,000

4.17 Due to financial constraints, the Council is not in a position to invest heavily in services in the short term. Instead, the Council must carefully consider a longer term strategy to reduce costs and/or increase income levels. This work will be undertaken alongside the development of the Local Development Plan (LDP) and also the planned update to the Corporate Plan.

4.18 The current proposed developments are as follows:

Description	2015/16 Cost £	Future Cost £
Borough Bulletin – 2 editions per year	2,500	2,500
Essex Devolution Strategy	5,000	-
Apprenticeships	62,250	62,250
Local Development Plan – additional costs	50,000	-
Renaissance Group Grant	20,000	-
Additional Events	15,000	15,000
Election Marketing	5,100	-
Lone Worker Devices	4,000	4,000
TOTAL	163,850	83,750

- 4.19 In addition to the above, the Council needs to consider revenue implications of potential borrowing to finance Capital projects. This area is outlined below.

Draft Capital Programme

- 4.20 In order to continue with Capital Investment plans over the medium term, the Council will need to borrow funds. A number of schemes have been carried forward from 2014/15 which are primarily fully funded. There are, however, a number of previously agreed or essential items of expenditure which must also be considered. The draft items for inclusion in the General Fund Capital Programme are as follows:

	2015/16 £	2016/17 £	2017/18 £
Existing Schemes:			
Vehicle Replacement Programme	200,000	150,000	150,000
Car Park Refurbishment & Upgrade	15,000	-	-
Home Repair Assistance Grants	50,000	50,000	50,000
Disabled Facilities Grants	280,000	280,000	280,000
CCTV System Upgrade	5,000	5,000	-
Play Area Refurbishments	100,000	100,000	100,000
Town Hall Remodelling	2,780,890	-	-
TOTAL	3,430,890	585,000	580,000
New Schemes:			
Brentwood Leisure Centre – filter refurbishment, boilers and air handling	88,280	-	-
Improvements at Brentwood and Shenfield stations	-	200,000	-
Structural and Safety Works at the Multi Storey Car Park	375,050	663,950	-
Old House Redevelopment	1,080,000	-	-
ICT Strategy	100,000	100,000	100,000

Replacement of Folding Machine	2,000		
TOTAL	1,645,330	963,950	100,000

- 4.21 Whilst interest rates are low, the Council will seek to utilise internal borrowing to meet the capital expenditure. However, where borrowing is necessary, there is a requirement to make a charge to the revenue account called the minimum revenue provision (MRP). This charge is based on the value and life of the assets funded by borrowing (internal or external) and results in sufficient cash being available to repay the loan at the end of the term. The MRP is in addition to the actual interest charges incurred to finance the debt.
- 4.22 Capital receipts of £4m have been assumed in the funding of the draft Capital Programme. This does not however cover the full funding requirement of the draft programme and estimated borrowing of some £4m is also required to fund the remaining programme over the next 3 years. The borrowing costs for this assumed borrowing are outlined in the table below.

	2015/16 £	2016/17 £	2017/18 £
Interest	39,690	71,800	121,320
Minimum Revenue Provision (MRP)	37,630	65,110	167,370
TOTAL	77,320	136,910	288,690

- 4.23 In order to generate further income from Assets, the Council may also need to consider further investment for property acquisitions or refurbishments. A key principle of borrowing in this regard must be to ensure that the costs of borrowing can be covered in order to prevent further pressure on the Revenue budget.

Summary

- 4.24 The table below shows the impact on the original funding position (outlined in the table at para 3.2) of the updated information above, together with the updated information identified through the Half Year Budget Review process:

	2014/15 £	2015/16 £	2016/17 £	2017/18 £
Total Net Forecast Spend	9,997,927	10,092,549	10,899,087	11,082,531
Total Funding	(9,980,570)	(9,306,263)	(9,665,966)	(9,436,121)
Funding Gap / (Surplus)	17,357	786,286	1,233,121	1,646,410
Anticipated Savings	-	(210,000)	(360,000)	(410,000)
Proposed Developments	-	163,850	83,750	83,750
Net Funding Gap / (Surplus)	17,357	740,136	956,871	1,320,160
Working Balance b fwd	4,511,000	3,293,643	2,553,507	1,596,636
Earmarked for WHW	1,200,000	-	-	-
Working Balance c fwd	3,293,643	2,553,507	1,596,636	276,476

- 4.25 The table above identifies a potential funding gap of some £3m over the next 3 years. This is clearly not financially sustainable and the Council must carefully consider its medium – long term strategy to reduce costs and/or generate additional income in order to bridge the funding gaps.
- 4.26 Due to the impending General Election, and the increased uncertainty of funding arrangements for 2016/17 and beyond, it will be important for the Council to focus on its long term strategy during 2015/16 in order that the gap can be addressed from 2016/17 onwards. The Funding Volatility Reserve can be used for some short term funding in 2016/17, but cannot support the ongoing budget pressures.

Next Steps

- 4.27 The Audit and Scrutiny Committee (at its meeting on 27 January 2015) will formulate responses to the Finance and Resource Committee's initial principles and assumptions contained within this report.
- 4.28 The Finance and Resource Committee will then finalise its proposals for submission by way of recommendation to the Council taking into account the comments from the Audit and Scrutiny Committee. The report to Council must show the Finance and Resource Committee response to those comments made by Audit & Scrutiny.
- 4.29 The key work areas that will be considered by Audit & Scrutiny are as follows:

Work Area	Expected Outcome
1) Review Savings Proposals	<ul style="list-style-type: none"> • Evaluate the impact of any savings proposed (see 4.13 and 4.15) • Test if the anticipated savings are realistic and achievable
2) Review Budget Growth Proposals	<ul style="list-style-type: none"> • Evaluate the impact of any new investment proposals (see 4.17 and 4.19) • Confirm that robust business plans are in place for new initiatives (and test the assumptions within them)
3) Review the working balance and reserve levels	<ul style="list-style-type: none"> • Review the risk assessments undertaken to inform the levels • Test the levels through benchmarking data with similar authorities
4) Review the Council Tax proposals	<ul style="list-style-type: none"> • Evaluate the financial impact of the proposal

5. Reasons for Recommendation

5.1 Effective financial management underpins all of the priorities for the Council.

6. Implications

Financial Implications

Name & Title: Jo-Anne Ireland, Acting Chief Executive

Tel & Email 01277 312712 / jo-anne.ireland@brentwood.gov.uk

6.1 The financial implications are set out in the report.

Legal Implications

Name & Title: Chris Potter, Monitoring Officer

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

6.2 There are no direct legal implications arising from this report.

7. Appendices to this report

None.

Report Author Contact Details:

Name: Jo-Anne Ireland, Acting Chief Executive

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E-mail: jo-anne.ireland@brentwood.gov.uk

Appendix B

RISK ASSESSMENT OF RESERVES 2015/16 - ORIGINAL

	Maximum Exposure	% Risk	Risk Level	Value
INFLATION AND INTEREST RATES				
Supplies and Services	3,819,900	1%	Low	38,199
Transport Related Expenses	856,000	1%	Low	8,560
Pay Award	10,056,470	1%	Low	100,565
New Borrowing	5,000,000	4%	Medium	200,000
Energy Inflation	350,000	2%	Low	7,000
Insurance	285,250	5%	High	14,263
BUDGET PRESSURES				
Homelessness	76,000	10%	High	7,600
Benefit Payments	15,296,000	1%	Low	152,960
WHW	1,200,000	1%	Low	12,000
ANTICIPATED SAVINGS				
Revenues & Benefits	55,000	50%	High	27,500
Contact Centre	100,000	50%	High	50,000
Senior Management	200,000	50%	High	100,000
FUNDING and INCOME				
Formula Grant	2,812,450	5%	High	140,623
New Homes Bonus	1,642,618	15%	High	246,393
Fees and Charges	4,934,060	5%	High	246,703
EMERGENCY PLANNING				
Disaster Recovery	750,000	100%	Absolute	750,000
				2,102,364

RISK ASSESSMENT OF RESERVES 2015/16 - REVISED

	Maximum Exposure	% Risk	Risk Level	Value
INFLATION AND INTEREST RATES				
Supplies and Services	3,819,900	0%	Low	-
Transport Related Expenses	856,000	0%	Low	-
Pay Award	10,056,470	0%	Low	-
New Borrowing	5,000,000	0%	Medium	-
Energy Inflation	350,000	0%	Low	-
Insurance	285,250	0%	High	-
BUDGET PRESSURES				
Homelessness	76,000	30%	High	22,800
Benefit Payments	15,296,000	0%	Low	-
WHW	1,200,000	0%	Low	-
ANTICIPATED SAVINGS				
Lease Reviews	10,000	50%	High	5,000
Contact Centre	100,000	50%	High	50,000
Senior Management	100,000	50%	High	50,000
FUNDING and INCOME				
Formula Grant	2,812,450	10%	High	281,245
New Homes Bonus	1,642,618	50%	High	821,309
Fees and Charges	4,934,060	5%	High	246,703
EMERGENCY PLANNING				
Disaster Recovery	750,000	100%	Absolute	750,000
				2,227,057

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Essex Borough & District Councils' General Fund Reserves as at 31 March 2014

Council	Gross GF Expenditure	GF Reserve	GF Reserve %	Earmarked Reserves	Total GF Reserves	Total %
	£000	£000	%	£000	£000	%
Colchester	116,804	6,515	5.6%	8,455	14,970	12.8%
Basildon	116,268	8,600	7.4%	17,468	26,068	22.4%
Chelmsford	99,795	7,384	7.4%	11,251	18,635	18.7%
Tendring	91,137	4,000	4.4%	20,849	24,849	27.3%
Braintree	75,371	8,244	10.9%	8,597	16,841	22.3%
Harlow	70,218	4,750	6.8%	9,415	14,165	20.2%
Epping Forest	68,730	9,884	14.4%	5,065	14,949	21.8%
Castle Point	42,787	3,839	9.0%	4,038	7,877	18.4%
Brentwood	37,229	3,311	8.9%	3,270	6,581	17.7%
Uttlesford	36,046	1,214	3.4%	11,172	12,386	34.4%
Rochford	35,273	994	2.8%	2,169	3,163	9.0%
Maldon	30,224	3,173	10.5%	1,543	4,716	15.6%

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Appendix D

Council Tax Modelling - year 1 decision followed by 2 years freeze

	2015/16	2016/17	2017/18
Tax Base (0.5% increase a yr)	31,156	31,311	31,468

Band D Charge

Band D Frozen	£168.14	£168.14	£168.14
Band D 1% Reduction	£166.46	£166.46	£166.46
Band D 1.5% Reduction	£165.62	£165.62	£165.62
Band D 2% Reduction	£164.78	£164.78	£164.78
Band D 1% Increase	£169.82	£169.82	£169.82
Band D 1.5% Increase	£170.66	£170.66	£170.66
Band D 2% Increase	£171.50	£171.50	£171.50

CTAX Income

CTAX Income Frozen	£5,238,503	£5,264,695	£5,291,019
CTAX Income 1% Reduction	£5,186,161	£5,212,092	£5,238,152
CTAX Income 1.5% Reduction	£5,159,990	£5,185,790	£5,211,719
CTAX Income 2% Reduction	£5,133,733	£5,159,489	£5,185,286
CTAX Income 1% Increase	£5,290,888	£5,317,298	£5,343,885
CTAX Income 1.5% Increase	£5,317,080	£5,343,600	£5,370,318
CTAX Income 2% Increase	£5,343,273	£5,369,901	£5,396,751

Impact on CTAX Income when compared to Freezing

CTAX Lost Frozen	£0	£0	£0
CTAX Income 1% Reduction	-£52,341	-£52,603	-£52,866
CTAX Income 1.5% Reduction	-£78,512	-£78,905	-£79,299
CTAX Lost 2% Reduction	-£104,770	-£105,206	-£105,732
CTAX Income 1% Increase	£52,385	£52,603	£52,866
CTAX Income 1.5% Increase	£78,578	£78,905	£79,299
CTAX Income 2% Increase	£104,770	£105,206	£105,732

Council Tax Freeze Grant	£58,000
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27 January 2015

Audit & Scrutiny Committee

Strategic & Operational Risk Review

Report of: Acting Chief Executive

Wards Affected: None

This report is: Public

1. Executive Summary

- 1.1 The Strategic Risk Register and Operational Risk Registers have been reviewed and are submitted to the Committee for approval.

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 B. The strategic risk register is monitored quarterly and the operational risks every six months 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 Quarterly insurance reports are presented to the Corporate Leadership Board to identify areas for future risk control, leading to risk improvements in the areas of training, systems of working and security.

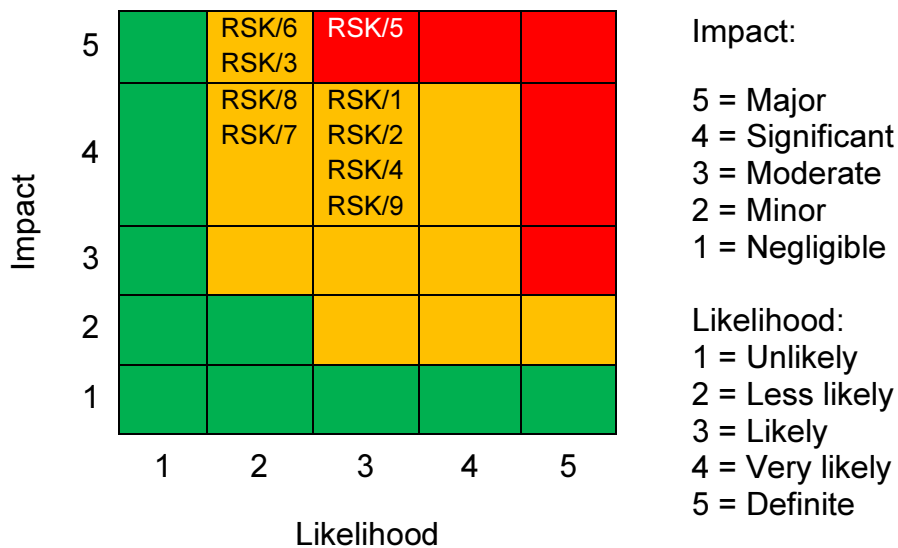
4. Issue, Options and Analysis of Options

Strategic Risks

- 4.1 In line with the Council’s Insurance and Risk Management Strategy, risk owners have reviewed their risks and risk scores. As a result of the current risk review all the scores have remained unchanged.
- 4.2 An update on the action required can be found on the Strategic Risk Summary sheet attached at Appendix C.

Risk Matrix

- 4.3 The nine risks are plotted on the risk matrix below. The current assessment identifies that one risk will remain in the red area of the risk matrix.



Operational Risks

- 4.4 The Operational Risks, attached at Appendix B, 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 38 operational risks.

Risk Group	No. of open risks on register	Low Risk	Medium Risk	High Risk
Environmental Health	5		3	2
Governance	1	1		
ICT	1		1	
Localism	5	2	3	
Planning	5		3	2
Street Scene	7	6		1
Business Transformation	3		3	
Finance	8	2	5	1
Housing	2	1	1	

5. Reasons for Recommendation

- 5.1 Risk Management continues to be embedded quarterly within the Senior Management Team reports, where Directors and 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: Jo-Anne Ireland, Acting Chief Executive

Telephone: 01277 312712

Email: jo-anne.ireland@brentwood.gov.uk

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

Legal Implications**Name & Title:** Christopher Potter, Monitoring Officer**Telephone:** 01277 312860**Email:** 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 – Operational Risk Register

Appendix C – Strategic Risk Register Summary Sheet

Report Author Contact Details:**Name:** Sue White**Telephone:** 01277 312821**E-mail:** sue.white@brentwood.gov.uk

Strategic Risk Register and Action Plan

Risk Number 1	Risk Owner: Jo-Anne Ireland	DATE: August 2014
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 Target levels for income are not achieved Target efficiency savings are not achieved 	<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 	3	4	12
					Retain

Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
In year savings are proving to be a challenge for 2014/15.	<ul style="list-style-type: none"> Additional work required in the following areas: <ol style="list-style-type: none"> Revenues and Benefits Customer Contact Centre Longer term MTFP to be developed Develop a strategy for delivery or savings, additional income 	31/03/2015 04/03/2015	Steve Summers, Head of Customer Services Jo-Anne Ireland, Acting Chief Executive Jo-Anne Ireland, Acting Chief Executive

Risk Number 2	Risk Owner: Gordon Glenday	DATE: August 2014
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 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	4	12
					Reduce

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 2015 deadline 	LDP – Dec 2015 CIL – Dec 2015	Gordon Glenday, Head of Planning Phil Drane, Planning Policy Team Leader

Risk Number 3	Risk Owner: Ashley Culverwell & Steve Summers (re IT requirements)	DATE: August 2014
Business Risk Description: Disaster Recovery/Continuity Planning		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date
<ul style="list-style-type: none"> Failure to respond effectively to an incident/event (e.g IT loss, virus/flu pandemic) Failure to provide critical services Failure to identify critical suppliers Lack of resilience of local businesses 	<ul style="list-style-type: none"> Ineffective response to an incident causes service disruption Unable to deliver key services Possible loss of income Staff absence Vulnerable residents at risk through lack of service delivery 	<ul style="list-style-type: none"> Most services already have Business Continuity Plans in place Civil Contingency Act Insurance cover Alternative fuel stocks/supplies Pandemic flu plan 	2	5	10
					Reduce

Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
Plans in place have not been updated regularly and testing infrequent.	<ul style="list-style-type: none"> Corporate and service Business Continuity Plans to be updated Exercises to test the adequacy of Business Continuity Plan and capacity to deliver the Plan Intranet development for Business Continuity and Emergency Planning information Need to test resilience of Gold Command & Emergency Planning/Business Continuity measures that are in place Update IT Disaster Recovery Plan 	March 2015	Mark Stanbury, Senior Environmental Health Officer Sue White, Risk & Insurance Officer Departmental managers Risk Management/CLB Steve Summers, Head of Customer Services & Tim Huggins, ICT Manager

Risk Number 4	Risk Owner: Jo-Anne Ireland	DATE: August 2014
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

Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
<p>As a small 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 	<p>31/03/2015</p> <p>Ongoing</p>	<p>Jo-Anne Ireland, Acting Chief Executive</p> <p>Relevant Managers</p>

Risk Number 5	Risk Owner: Chris Potter	DATE: August 2014
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

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 Deliver training and embed within the culture of the organisation 	31/03/2015	Christopher Potter, Monitoring Officer and Head of Support Services

Risk Number 6	Risk Owner: Steve Summers	DATE: August 2014
Business Risk Description: Customer Access Strategy		

Trigger	Consequences	Existing Controls	Likelihood	Impact	Risk Rating to date
<ul style="list-style-type: none"> No Customer Access Strategy produced and approved by end Dec 2014 Target efficiency savings are not achieved Unable to provide/meet customer service performance levels 	<ul style="list-style-type: none"> Non realization of savings/ benefits if this is not in place £250K of savings at risk by 31 March 2015 Failure to provide effective Customer Service Lack of integration with other Council services Failure to align ICT and Customer Access Strategies will inhibit ability to transform Customer Services 	<ul style="list-style-type: none"> Not in place as Customer Access Strategy not produced Resources now in place. 	2	5	10
					Reduce

Effectiveness of controls	Further Action Required	Target Date for completion	Officer(s) Responsible
Not applicable until Customer Access Strategy approved	<ul style="list-style-type: none"> Draft Customer Access Strategy to be reported to Finance & Resources Committee on 14th January 2015 	31/01/2015	Steve Summers, Head of Customer Services

Risk Number 7	Risk Owner: Jo-Anne Ireland	DATE: August 2014
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
					Reduce

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 Monitoring activities via a Task Force 	April 2015	Phil Ruck, Contract & Corporate Projects Manager
		04/03/2015	Phil Ruck, Contract & Corporate Projects Manager
		04/03/2015	Phil Ruck, Contract & Corporate Projects Manager & Steve Summers, Head of Customer Services

Risk Number 8	Risk Owner: Phil Ruck	DATE: August 2014
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
					Reduce

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 	31/03/3015	Phil Ruck, Contract & Corporate Projects Manager

Risk Number 9	Risk Owner: Jo-Anne Ireland	DATE: August 2014
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

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 	31/03/2015	Jo-Anne Ireland, Acting Chief Executive

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Strategic Risk Register Summary Sheet

Risk Number	Risk Description	Risk Owner	Likelihood (1 to 5)	Impact (1 to 5)	Risk Rating Avg	Risk Responses/Update on action required November 2014	Likelihood (1 to 5)	Impact (1 to 5)	Risk Rating Nov	Movement	Risk Responses/Update on action required January 2015	Likelihood (1 to 5)	Impact (1 to 5)	Risk Rating Jan	Movement
RSK1	Finance Pressures	Jo-Anne Ireland	3	4	12	Savings/Income Strategy required to underpin the MTFP. Subject to Council approving the LDP consultation documents in December, the LDP is on track.	3	4	12	↔	Work is underway on the MTFP and will be concluded in March 2015. 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.	3	4	12	↔
RSK2	Local Development Plan	Gordon Glenday	3	4	12	Updated BC and EP Workplans have been produced to identify all the arrangements needed to be put in place to mitigate failure in critical services. Over-arching and Service specific recovery plans are in development with all HoS. Resilience will be tested through planned scenarios. Business Continuity will be extended out to external businesses through the provision of key information.	3	4	12	↔	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.	3	4	12	↔
RSK3	Disaster Recover/Business Continuity	Ashley Culverwell	2	5	10	Develop a programme of service reviews.	2	5	10	↔	Work has started within Housing, Revenues and Benefits registration (on going) and training due to be prepared and rolled out.	2	5	10	↔
RSK4	Organisational Capacity	Jo-Anne Ireland	3	4	12	Limited move forward.	3	5	12	↔	No change.	3	5	12	↔
RSK5	Information Management and Security	Chris Potter	3	5	12	Draft Customer Access Strategy to be reported to Finance & Resources Committee on 14 January 2015	3	5	12	↔	No change.	3	5	12	↔
RSK6	Customer Access Strategy	Steve Summers	2	5	10	A task force group has been formed to review activities and address potential risks	2	5	10	↔	No change.	2	5	10	↔
RSK7	Commercial Activities	Jo-Anne Ireland	2	4	8	New performance reports established and submitted to F&R committee. Continue to review approach and metrics.	2	4	8	↔	No change.	2	4	8	↔
RSK8	Contract/Partnership Failure	Philip Ruck	2	4	8	No change.	2	4	8	↔	The long term vision will need to be developed alongside the MTFP.	2	4	8	↔
RSK9	Lack of Strategic Direction	Jo-Anne Ireland	3	4	12	No change.	3	4	12	↔		3	4	12	↔

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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	Lone working & Personal Safety training now completed. Trial of electronic devices to improve controls for designated staff being planned.	17	Sep-14	Awaiting funding agreement for Trial and subsequent use of Lone Working electronic devices for designated staff where required.	17	Jan-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	15	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	Continue working with HoS and Line Managers to achieve the production of risk assessments and publishing H&S tools & guidance for use by the respective Service Areas.	16	Sep-14	Continue with current strategy of engaging with HoS and Line Managers and supporting them to have good H&S in place to manage their risks.	16	Jan-15
RSK/3	Ability to act upon 24/7 basis to serious foreseen noise complaints	Environmental Health Manager	Residents may need to wait until normal office hours until officers can respond	10	There is no out of hours noise service except during bank holidays and at Christmas	10	No further action required	10	Sep-14	No further action required.	10	Jan-15
RSK/4	Business Continuity Management > Unable to respond effectively to a business continuity incident (e.g. IT, virus/flu pandemic)	Environmental Health Manager	> Services disrupted/loss of service > Possible loss of income > staff absence > Hardship for some of the community > Council criticised for not responding effectively	8	> Business Continuity Plans in Place > Audited annually > Performance Measured against other Essex Authorities > Testing schedule in place > Plans reviewed annually	8	Work is currently being progressed on all parts of the workplan.	8	Sep-14	This risk has now been escalated to the Strategic Risk Register, RSK 3 Disaster Recovery/Continuity Planning	8	Jan-15

Appendix C

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
RSK/5	Loss of life from an event identified as an emergency (where the Council has a legal responsibility)	Senior Environmental Health Officer	<ul style="list-style-type: none"> >Reputational damage >Financial penalties > Failure to comply with the civil contingencies Act 2004 > Impact on staff and services 	25	<ul style="list-style-type: none"> > Emergency Plan in Place > Reviewed annually > Rest centre staff trained and ready for deployment > Close liaison with Essex Emergency Planning Services 	10	No further action required (subject to regular review).	10	No further action required other than that already identified.	Sep-14	Jan-15

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	Failure to manage contracts effectively	Head of Legal Services	<ul style="list-style-type: none"> > Contract Fails to deliver > Loss of revenue > Financial impact on Council > Loss of reputation 	12	<ul style="list-style-type: none"> > Seek to implement formal contract monitoring training for staff > Implement a review of the contract register > Set out clear process for monitoring contracts 	8	This risk has now been escalated to the Strategic Risk Register, RSK 8 Contract /Partnership Failure	3	Sep-14	This risk has now been escalated to the Strategic Risk Register, RSK 8 Contract /Partnership Failure	3	Sep-14
RSK/2	Illegal encampments	Head of Legal Services	<ul style="list-style-type: none"> > Financial cost to the Council legally > Reputational impact > Clear up costs 	10	<ul style="list-style-type: none"> Out of hours processes in place to take swift action should encroachment occur 	10	No further action required	3	Sep-14	Review cost effectiveness of current system	3	Jan-15
RSK/3	Failure to manage data security	Head of Legal Services	<ul style="list-style-type: none"> > Reputational impact > Financial impact from fines 	15	<ul style="list-style-type: none"> > SIRO in Place > Regular review of Data policies and security of data regularly carried out > Training to be identified and implemented to all staff 	10	This risk has now been escalated to the Strategic Risk Register, RSK 5 Information Management and Security	4	Sep-14	This risk has now been escalated to the Strategic Risk Register, RSK 5 Information Management and Security	4	Sep-14

OPERATIONAL RISK REGISTER

SERVICE: ICT

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
RSK/1	Failure of ICT Infrastructure	Head of Customer Service	<ul style="list-style-type: none"> > Unable to provide services to the customer > Staff unable to carry out their functions properly > Financial Impact to the Council 	15	<ul style="list-style-type: none"> > Business Continuity Plan in place > Resiliency site identified and links tested 	5	This risk has now been escalated to the Strategic Risk Register, RSK 3 Disaster Recovery /Continuity Planning	8	Jan-15
RSK/2	Breach of security by members	Head of Customer Service	<ul style="list-style-type: none"> > Loss of data > Financial fines to the Council > Reputational loss 	12	Training for members	8	No further action required	8	Sep-14

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	Sep-14	12	No further action required as Event Management Plans are updated for each event	Jan-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 required, other than that already identified	Sep-14	2	Updated Safeguarding and Procedures agreed at 17 December 2014 Community Committee. Updated staff training to be delivered in 2015.	Jan-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	No further action required, other than that already identified	Sep-14	4	In Kind Policy is before F & R Committee on 13 January 2015. Separate Community Let Policy/Room Hire going to Asset & Engerprise Committee. Commissioning Prospectus launched 9 January 2014 for tenders for services.	Jan-15
RSK/4	Failure to manage non housing building assets	Strategic Asset Manager	Reduction in asset value, Injuries to staff, customers, visitors Financial impact Council unaware of future costs and impacts	12	Programme of works in place to maintain/improve the Councils asset stock. First year maintenance nearing completion.	8	R&M contract in place with Wates Living. Programme being rolled out for 2014/15.	Sep-14	6	No further action required.	Jan-15

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/5	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	Building officially opened 30/05/14 & steady bookings are in place for the centre	6	Sep-14	invitation for a Community organisation to take over the running of the building is being advertised through Assets January 2015	6	Jan-15

OPERATIONAL RISK REGISTER

SERVICE: PLANNING

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	Last Review Date
RSK/1	Error in making a Planning decision	Development Management Team Leader	<ul style="list-style-type: none"> > Financial implications - judicial review, legal costs & compensation > Reputation undermined 	15	<ul style="list-style-type: none"> > Duplicate checks of weekly list > Review of weekly list to take place 	8	No further action required.	Sept-14	8	Jan-15
RSK/2	Lose Planning Appeal decision	Development Management Team Leader	<ul style="list-style-type: none"> If costs awarded maybe financial implications 	15	<ul style="list-style-type: none"> > Ongoing monitoring and review of appeal decisions to learn > Planning training 	15	No further action required.	Sept-14	15	Jan-15
RSK/3	Error or delay in undertaking planning enforcement	Development Management Team Leader	<ul style="list-style-type: none"> > Reputation undermined > Financial compensation 	15	<ul style="list-style-type: none"> > Review of enforcement procedures > Backlog cleared 	8	No further action required.	Sept-14	8	Jan-15
RSK/4	Increased workload due to:- <ul style="list-style-type: none"> > increase in applications > changes in legislation > failure to have files sorted & uploaded 	Head of Planning	<ul style="list-style-type: none"> > Inability to do the work 	20	<ul style="list-style-type: none"> > Manage staff resources 	20	No further action required.	Sep-14	8	Jan-15
RSK/5	Loss of key staff	Head of Planning	<ul style="list-style-type: none"> > Inability to do the work 	20	<ul style="list-style-type: none"> > Use of agency staff > Recruitment of new staff 	20	No further action required other than that already identified.	Sep-14	15	Jan-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	Sep-14	No further action required	3	Jan-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	Sep-14	No further action required	3	Jan-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	Sep-14	No further action required	3	Jan-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	2	Sep-14	No further action required other than that already identified	2	Jan-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	Priority gaps in Risk Assessment with David Wellings	2	Sep-14	Ongoing review from D Wellings	2	Jan-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	Sep-14	No further action required other than that already identified	15	Jan-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	4	Sep-14	No further action required other than that already identified	4	Jan-15

OPERATIONAL RISK REGISTER

SERVICE: Business Transformation

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
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	Jun-14	Continue to review resource requirements as project demands increase	10	Sep-14
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	Jun-14	Need to review control mechanisms and improve monitoring. Requires regular communications updates to all staff	12	Sep-14
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 	10		Continue to review structure of ICT delivery 2) Develop partnerships to resolve key resource/skill set shortages Continue to promote hosted systems ensuring that effective and reliable controls are in place (and defined in relevant contracts) Ensure that all projects (and services) incorporate clear funding sources and ongoing maintenance costs - this to be extended to any shared service offering	10	Jan-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	Last Review Date	Revised Risk Score	Further required actions/controls	Last Review Date
RSK/1	Treasury Management > Loss of funds due to bank collapse > Reduction in investment interest > Transactions undertaken which are outside the terms of the Treasury Management Policy	Financial Services Manager	Up to £12m can be invested at any one time Negative impact on the budget Higher risk transactions e.g. Unapproved Counterparty	16	> Use of External Adviser - Sector and £5m limit with each counterparty > Treasury Management Strategy that is reviewed yearly. Regular monitoring and training for staff > Ensure staff are well trained and adequate cover in place	9	No change - money on call accounts.	Sep-14	4	No change - money on call accounts.	Jan-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	The risk is less about changes in legislation now but having the knowledge and resources to prepare the SoA. Closure plan to be put in place.	Sep-14	8	The risk is less about changes in legislation now but having the knowledge and resources to prepare the SoA. Closure plan to be put in place.	Jan-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	CP is now operational	Sep-14	4	No Further action required	Jan-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	> Recruitment in progress for replacement Financial Services Manager > Interim resources in place for Maternity Cover	Sep-14	16	> Recruitment in progress for replacement Financial Services Manager > Interim resources in place for Maternity Cover	Jan-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/5	Uninsured properties/risks	Financial Services Manager	<ul style="list-style-type: none"> > Financial and reputational implications in the event of any loss/damages 	12	<ul style="list-style-type: none"> > Regular monitoring and robust annual renewals process 	12	No further action required	8	Sep-14	Robust annual renewals completed. Risk assessments completed to manage its activities and regular inspections.	6	Jan-15
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	Resource issue to be addressed with further recruitment	6	Sep-14	Resource issue to be addressed with further recruitment	6	Jan-15
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	10	Sep-14	No Further action required	10	Jan-15
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	Not yet in place	10	Sep-14	Additional temporary ICT and financial management support now in place	10	Jan-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	Contractor Failure	Head of Housing	Contract Fails to deliver, loss of revenue, financial impact on Council, loss of reputation	6	Contracts procured according to recognised terms and procedures. Regular contract meetings to identify threats	4	This risk has now been escalated to the Strategic Risk Register, RSK 8 Contract / Partnership failure.	4		This risk has now been escalated to the Strategic Risk Register, RSK 8 Contract / Partnership failure.		
RSK/2	Emergency with significant homeless implications	Head of Housing	Costs to the Council should families require re-homing Reputational Risk	12	Emergency planning response measures in place to deal with evacuation of other mass movement of people Test rest centre procedures Review rest centre/emergency plans	5	This risk has now been escalated to the Strategic Risk Register, RSK 3 Disaster Recovery / Continuity Planning.	5		This risk has now been escalated to the Strategic Risk Register, RSK 3 Disaster Recovery / Continuity Planning.		
RSK/3	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	Continued monitoring of delivery against PI's.	5	Sep-14	New KPI, monitored at Hsg Cttee. Meeting with Corporate Health & Safety Advisor last week to produce/review procedures and processes	5	Jan-15
RSK/4	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	Bi-monthly estate inspections commenced 21/8/14 noting fire risks & taking action on breaches & recording conditions of site. Additional checks are to be introduced	10	Sep-14	Programme set for next 12 months and advertised in Newsletter. Monitored regularly by Estates Team.	10	Jan-15

27 January 2015

Audit and Scrutiny

Business Continuity Progress Report

Report of: Ashley Culverwell, Head of Borough Health, Safety and Localism

Wards Affected: All

This report is: Public

1. Executive Summary

- 1.1 This report summarises the work being undertaken to ensure that Brentwood Borough Council has sufficient business continuity arrangements in place which will activate in whole or part if critical infrastructure is lost within the short or long term. Business continuity arrangements are essential if the Council is to remain functional in the maintenance of its services to the public and other stakeholders.
- 1.2 The Business Continuity function was audited on 14th March 2014. The measures being put in place will ensure that all recommendations made in that report are suitably actioned.

2. Recommendation

- 2.1 That Members agree the work which has been undertaken to date and progress on outstanding matters.**

3. Introduction and Background

- 3.1 This report stems from the decision made by Audit and Scrutiny Committee on 26 October 2014 that a report on ICT and Business Continuity was required for consideration. The work being undertaken presently by Borough Health, Safety and Localism and presented in this report will meet the requirements set by the Audit and the obligations imposed by the Civil Contingencies Act 2004. This will result in a recognisable improvement in overall resilience.
- 3.2 With regard to the remit of ICT progress continues on both the technical infrastructure and officer facing services in supporting modern ways of working. As the New Ways of Working initiative started ICT began

projects to modernise systems an technical architecture with the continuing aim of delivering the "Right information, at the Right time, to the Right People". Business continuity is considered while developing and implementing new system and technical infrastructure. The New Ways of Working projects have created many projects that have and will, improve current services. ICT are developing, alongside these changes, systems and services that will provide IT resilience and Business Continuity services that Council Services will be able to use to support their needs. An example of this is the provision of secure remote access of authorised Officers, so that Officers desktops can be accessed from remote locations. By providing this service to allow working flexibility, it also enables the Service to consider using this approach in business continuity situation. These projects and initiatives are part of an ICT long term work programme that is currently being developed so that technology, current projects and resources can be aligned for successful implementation. The aforementioned improvements are part of an overarching strategy to position the Council so that it can take advantage of emerging and maturing cloud services, whether this be private, community or commercial. In doing so the facilitation of Business Continuity and Disaster Recovery is embedded in the nature of the service provision.

- 3.3 Members were advised at Audit Committee on 25th September 2012 of the then updated Council's Business Continuity Strategy and Policy. These were approved at that meeting. Members were also advised of those documents being further updated and approved by Audit Committee on 11th March 2014. The Business Continuity over-arching Recovery Plan and Service Recovery Plans in development sit alongside those documents and will enable the Council to demonstrate continuity across all its Services.

4. Issue, Options and Analysis of Options

- 4.1 The audit in 2014 identified a number of key areas necessary for improvement so as to meet the Councils' legal obligations under the Civil Contingencies Act 2004. As a consequence of the audit a detailed workplan with timescales (summarised at Appendix A) has been produced outlining all works necessary as well as those already completed. The work within that plan is already underway. To ensure that procedures are up to date and reflective of current staffing many of the previous procedures have been revised. Although this slowed initial progress the work now underway will put the Council in a much securer position with final completion planned for end of March 2015.
- 4.2 An over-arching Council-wide Business Continuity Recovery Plan has been produced and is attached for reference (Appendix B). Each Service is expected to have its own Business Continuity Recovery Plan sitting

beneath this and a template has been produced for Heads to import their own departmental details and arrangements (refer to Appendix C). An example already produced for Borough Health, Safety and Localism is at Appendix D. All Services now have 'Battleboxes' and these are being filled with all necessary documents and other information that would be required in a contingency situation to retain priority functions. Once all services have populated their Battleboxes they will be audited periodically to ensure their contents remain up to date.

- 4.3 As part of the workplan, all managers are to receive training on how to operate during a contingency situation and how best to use their resources. Six-monthly managers meetings are also to be set in place as an opportunity to discuss and review existing plans so that they remain up to date and reflective of current arrangements.
- 4.4 Finally there will be an exercise arranged for Gold Command in March 2015 to test contingency, and this will at the same time involve opening a rest centre with trained volunteers.
- 4.5 All actions in respect of the delivery of Council Services will be completed by 31st March 2015 apart from the improvements to ICT systems which will be finalised by 31st July 2015.

5. Reasons for Recommendation

- 5.1 Members are asked to agree the actions within the workplan together with the timescales indicated in order to ensure recovery systems are in place to maintain essential Council services.

6. Consultation

- 6.1 Both the over-arching Business Continuity Plan and Service template have been circulated to all Heads of Service for comment before being presented to this Committee.

7. References to Corporate Plan

- 7.1 This aligns with the priorities; 'More modern and effective customer services that meet at least 80% of customer needs at the first point of contact' and 'A new way of working for the council, improving service delivery and reducing the 'back office' and unnecessary bureaucracy'.

8. Implications

Financial Implications

Name & Title: Jo-Anne Ireland Director of Strategy & Corporate Services

Tel & Email 01277 31 2712 jo-anne.ireland@brentwood.gov.uk

- 8.1 There are no additional costs in implementing the Business Continuity Workplan than have already been budgeted.

Legal Implications

Name & Title: Chris Potter Monitoring Officer

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

- 8.2 The Legal Officer has been consulted and is in agreement with the legal information and references provided in these reports.

Other Implications (where significant) – i.e. Health and Safety, Asset Management, Equality and Diversity, Risk Management, Section 17 – Crime & Disorder, Sustainability, ICT.

- 8.3 There are no corporate health and safety or asset management implications. There are no equality/diversity or risk management implications

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

- 9.1 None

10. Appendices to this report

Appendix A	2014/15 Business Continuity Workplan Summary
Appendix B	Over-arching Brentwood Borough Council Business Continuity Recovery Plan
Appendix C	Business Continuity Recovery Plan Template for all Services
Appendix D	Business Continuity Recovery Plan for Borough Health, Safety and Localism

Report Author Contact Details:

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Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 27/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date
BC Strategy	1.1 BC Strategy actions	The current Strategy does not contain an Action Plan. Ref: priority point 6 within the BC Strategy of 2012.	This Work Plan covers both the points mentioned within the 2012 Strategy and the BC Audit report of 2014.	To produce a workplan	N/A	N/A	N/A	N/A	N/A	N/A	N/A	MS	Completed
BC Templates	1.2 Revision of BC Plan Template	The BC Template requires revision. Ref: priority point 1 within the BC Strategy of 2012.	(1) To revise the plan template to ensure that is reflective of current arrangements together with details of all contacts, evacuation and communication arrangements	Preparation of new BC template	New BC template finalised	N/A	N/A	N/A	N/A	N/A	N/A	MS	Completed
Risk Register Alignment	1.3 Aligning the over-arching and BC plans with current risk registers	All BC risks to be aligned with and will inform the strategic risk registers. Ref: BC audit point 13	(1) All BC risks must feature within the Corporate Risk Register.	Ensure that over-arching and BC Plans are properly referenced to the risk registers	Preparation	Preparation	Final plan versions correctly referenced to risk registers (see 2.2 below)	Final plan versions correctly referenced to risk registers (see 2.2 below)	Preparation	Final plan versions correctly referenced to risk registers (see 2.2 below)	N/A	MS	Completed

Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 28/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date	
2.0 BUSINESS CONTINUITY ARRANGEMENTS														
Business Continuity Plans	2.1 To produce an over-arching BC Plan	<p>(1) To provide an over-arching Plan</p> <p>(2) To ensure that the Corporate Business Continuity Plan is updated and in line with all the other Plans.</p>	<p>Will be new/revised over-arching plan.</p> <p>Will be new/revised over-arching plan.</p>	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	MS	Completed	
	2.2 To review and produce BC Plans for all Services	<p>All BC Plans are to be re-issued to suit current BC service arrangements. Ref: priority points 2 and 7 within the BC Strategy of 2012</p> <p>(1) To rework and provide BC plans for all services.</p>	<p>Each Service has been sent a Business Impact Assessment to complete which will enable them to consider the risks in losing staff, facilities, buildings etc and to state what mitigation plans they have in place to cover such losses both short and long term. Managers will be supplied with support in the development and finalisation of their Business Continuity Recovery Plans. This will be done by email, face to face meetings and phone calls.</p>	<p>All business impact assessments must be returned by this date</p>	<p>Complete BC Plans first draft for:- Strategy & Corporate Services • Asset Management • Accountancy • Business Transformation Customer Services • Call Centre • Communications • Council Tax and Housing Benefits • ICT Support Services • Corporate Support • Electoral Registration • Legal • Printing Services</p>	<p>Complete BC Plans final version for:- Strategy & Corporate Services • Asset Management • Accountancy • Business Transformation Customer Services • Call Centre • Communications • Council Tax and Housing Benefits • ICT Support Services • Corporate Support • Electoral Registration • Legal • Printing Services</p>	<p>Complete BC Plans first draft for:- Planning, Development & Prosperity • Land Charges • Building Control • Asset Management • Accountancy • Business Transformation Customer Services • Call Centre • Communications • Council Tax and Housing Benefits • ICT Support Services • Corporate Support • Electoral Registration • Legal • Printing Services</p>	<p>Complete BC Plans first draft for:- Planning, Development & Prosperity • Land Charges • Building Control • Asset Management • Accountancy • Business Transformation Customer Services • Call Centre • Communications • Council Tax and Housing Benefits • ICT Support Services • Corporate Support • Electoral Registration • Legal • Printing Services</p>	<p>Complete BC Plans final version for:- Planning, Development & Prosperity • Planning • Land Charges • Building Control Borough Health, Safety & Localism • Environmental Health • Licensing • Community Services • CCTV • Corporate Health and Safety • Business Continuity and Emergency Planning • Health and Wellbeing Housing Street Scene & Environment • Depot Parking</p>	N/A	N/A	N/A	N/A	MS

Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 28/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date
Business Continuity Plans	<p>Managers are required to periodically update their BC Plans and will require training on how to do this. Ref: BC audit point 7.</p> <p>2.3 To provide Manager training on the BC Plans</p>	<p>(1) To formulate a training course.</p>	<p>Managers need to appreciate how to use their plans effectively</p>	<p>Course development</p>	<p>Course development</p>	<p>Course development</p>	<p>Course prepared and ready for delivery</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>	<p>EH</p>	<p>28/02/14</p>
		<p>(2) To invite Managers by calendar invite to training Session.</p>	<p>Once plans have been produced for various services managers will be invited to training where they are led through how to use them effectively.</p>	<p>Preparation</p>	<p>Preparation</p>	<p>To invite managers to the training course</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>	<p>EH</p>
Business Continuity Plans	<p>Management responsibilities under the BC Plans need to be made clear. Ref: BC audit point 11</p> <p>2.4 Management duties under the BC Plans</p>	<p>(3) To deliver the training</p>	<p>This ensures that managers are aware of how their plans function and how they must be put in to operation</p>	<p>Preparation for training</p>	<p>Preparation for training</p>	<p>Preparation for training</p>	<p>Preparation for training</p>	<p>To deliver training by w/c 23/02/2015</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>	<p>EH/MS</p>	<p>31/03/15</p>
		<p>(1) All managers/Heads of Service in charge of BC plans will be made aware of their duties and responsibilities via the individual plans.</p>	<p>These roles and responsibilities will be clearly shown in the new BCP's for each service prior to final issue.</p>	<p>Preparation</p>	<p>Preparation</p>	<p>Managers and HoS responsibilities to be reflected in final BC Strategy & Corporate Services</p> <ul style="list-style-type: none"> Asset Management Accountancy Business Transformation Customer Services Call Centre Communications Council Tax and Housing Benefits ICT Support Services Corporate Support Electoral Registration Legal Printing Services 	<p>Preparation</p>	<p>Managers & HoS responsibilities to be reflected in final BC Plans for: -</p> <ul style="list-style-type: none"> Planning, Development & Prosperity Planning Land Charges Building Control Borough Health, Safety & Localism Environmental Health Licensing Community Services CCTV Corporate Health and Safety Business Continuity and Emergency Planning Health and Wellbeing Housing Street Scene & Environment Depot Parking 	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>	<p>MS</p>	<p>Completed</p>

Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 28/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date	
		(2) Paragraph to be inserted in to all managerial J.D's explaining their responsibilities under BC.	MS to formulate para and get added retrospectively - Phil Ruckhas been emailed.	To develop standard paragraph required	To send a standard paragraph to Midland HR and request them to inform all HoS to insert this in to all managerial JD's	N/A	To ensure that all relevant JD's have been modified	N/A	N/A	N/A	N/A		27/02/15	
		(1) To organise six-monthly meetings of Plan Managers	At six-monthly intervals managers will be asked to review and update their plans so that they remain reflective of current arrangements	Preparation	Preparation	Preparation	Preparation	Managers meeting to discuss final documents	N/A	N/A	N/A	EH	31/03/15	
2.5. Managers' meetings to discuss their BC Plans	Managers to examine their plans to ensure they remain appropriately revised. Ref: BC audit point 6	(2) To ensure that all Plans produced are suitably stored and accessible	Plans to be stored in battleboxes and on cloud.			All these plans produced and placed in battle boxes and to be held on appropriate drives: - Strategy & Corporate Services <ul style="list-style-type: none"> • Asset Management • Accountancy • Business Transformation Customer Services <ul style="list-style-type: none"> • Call Centre • Communications • Council Tax and Housing Benefits • ICT Support Services <ul style="list-style-type: none"> • Corporate Support • Electoral Registration • Legal • Printing Services 		All these plans produced and placed in battle boxes and to be held on appropriate drives: - Planning, Development & Prosperity <ul style="list-style-type: none"> • Planning • Land Charges • Building Control Borough Health, Safety & Localism <ul style="list-style-type: none"> • Environmental Health • Licensing • Community Services • CCTV • Corporate Health and Safety • Business Continuity and Emergency Planning • Health and Wellbeing Housing <ul style="list-style-type: none"> • Street Scene & Environment • Depot • Parking 	N/A	N/A	N/A	N/A	SW	31/03/15

Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 27/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date
		3. To attend Managers' meetings and enter onto Corporate Brief	Managers meetings to be arranged	N/A	N/A	N/A	N/A	Managers to report completion of plans for the above areas.	N/A	N/A	N/A	EH	31/03/15
	BC Plans must be provided for all occupied premises. Further Plans may be required as managed premises are identified. Ref; BC audit point 9.	(1) Plans will be prepared for all council-run and owned premises which indicate the business continuity arrangements in place to keep services active. New plans will require formulation should the council gain any further occupied assets.	BC Plans are necessary for the Town Hall, Depot and Car Park. See 2.2 above which indicates when each Plan will be completed for all service areas.	See 2.2	See 2.2	See 2.2	See 2.2	See 2.2	See 2.2	N/A	N/A	MS/AT	31/03/15
	2.6 Extent of Plans												
Business Continuity Plans													

Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 27/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date
I.T Restoration	<p>I.T must provide an updated BC (Disaster Recovery) Plan accurately describing the arrangements in place to cover for total I.T loss at the Town Hall, depot, and any other occupied assets.</p> <p>Ref; BC audit point 3</p>	<p>IT are presently putting together a raft of measures to combat loss of I.T and phone network across the authority. This involves arrangements made with other providers so that continuity is maintained. This includes putting together new contingency arrangements at the Brentwood Centre. A room is set aside.</p>	<p>I.T must have in place their own Business Continuity Plan which covers ultimately for total loss and the provisions in place so that others may continue working.</p>	Work with ICT to formulate their Plan	Work with ICT to formulate their Plan	Work with ICT to formulate their Plan	Work with ICT to formulate their Plan	N/A	N/A	N/A	Work with ICT to formulate ICT Corporate Plan 20/6/15	TH	31/07/15
System Testing	<p>To produce a table of testing which includes both live and desk top exercises. Ref; BC Audit point 4. Ref; priority point 3 within the BC Strategy of 2012</p> <p>3.2 Live and tabletop testing of the BC System</p>	<p>(1) At a rest centre hold a dummy exercise involving rest centre members of the public to duplicate conditions likely to be experienced as the result of an evacuation.</p>	<p>Rest centre training occurred on 23rd April 2014. A further rest centre exercise is required involving volunteers and staff (SW to organise)</p>	Work with ICT	Preparation for exercise	Preparation for exercise sent out by this date	Preparation for exercise	Exercise to be held week commencing 16th March 2015	N/A	N/A	N/A	SW/MS	31/03/15
		<p>(2) To ascertain how many currently have access to all Council systems to work remotely</p>	<p>Obtain a list from I.T. Email request sent.</p>	Work with ICT	Work with ICT	ICT to provide by this date	N/A	N/A	N/A	N/A	N/A	TH	Completed

Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 27/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date
System Testing	<p>To produce a table of testing which includes both live and desk top exercises. Ref: BC Audit point 4. Ref: priority point 3 within the BC Strategy of 2012</p> <p>3.2 Live and tabletop testing of the BC System</p>	<p>(2) Within BBC offices hold a desktop exercise simulating a district event where convened members of Gold Command will respond and coordinate BBC actions. This to be assisted by Essex Civil Protection and Emergency Management and will double as an Emergency Planning Exercise.</p>	<p>Gold command officers have received training, however, this must be extended to an exercise to be held at the same time as the rest centre exercise for completeness</p>	Preparation for exercise	Preparation for exercise	Invitations to exercise sent out by this date	Preparation for exercise	Exercise to be held week commencing 16th March 2015	N/A	N/A	N/A	SW/MS	31/03/15
Debrief	<p>After any BC event there may be lessons to be learnt. A formal review and debrief is necessary to consider the event and what if any Plans must be provided/alterd.</p> <p>Ref: BC audit point 8</p> <p>3.3 Debrief process</p>	<p>To provide an event summary for each emergency/business continuity situation where a response was brought about.</p>	<p>Have done one report re the gas leak evac, but not for the power spike.</p>	N/A	N/A	To complete power spike report	N/A	N/A	N/A	N/A	N/A	SW	31/01/15

Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 27/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date
4.0 BATTLEBOXES	4.1 Availability of battle boxes	(1) Determine the location of all battle boxes and make a list of them.	Sue has a list of what boxes there are and their locations.	List of all battle boxes completed	N/A	N/A	N/A	N/A	N/A	N/A	N/A	SW	Completed
		(2) List all locations requiring a battlebox.	To prepare a list of where BB's are needed	List of all required battlebox locations completed	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	SW
	To ensure that there are 'battlebox's for all services and that there are duplicates held at the depot. Ref: BC Audit point 2	(3) Ensure that all battleboxes are duplicated and that the duplicates are suitably stored together.	There are no BB's at the depot, but we need to ensure there are. Sue to ensure that all BB's and Pouches are duplicated at the depot and depot one duplicated at the TH.	N/A	N/A	To ensure that all battleboxes are in place and that there is a designated custodian of each, including the set at the depot.	N/A	N/A	N/A	N/A	N/A	SW	Completed
		(4) Check to ensure battle boxes are provided for each service and if not inform the appropriate HoS.	To ensure that Battleboxes are available for all services	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	SW	Completed
	4.2 Contents of battle boxes	(1) Check the contents of each battlebox against the contents standard.	A generic list of battlebox contents has been produced.	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	SW/All HoS	Completed
	Ref: BC Audit point 2	(2) If anything is missing then instruct the HoS as to what is required.	All contents must be present	N/A	All Battleboxes to hold the required contents.	N/A	N/A	N/A	N/A	N/A	N/A	SW/All HoS	31/03/15

	Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 27/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date
Battle boxes	4.3 Battlebox spot audits	To carry out annual spot-checks of battle boxes to ensure compliance with 1.2 above.	(1) To randomly spot-check battleboxes and their contents against the standard. (2) To report back to HoS the outcomes of those audits.	Once all the battleboxes are known to be in place they need to be spot-checked as per a schedule. HoS must ensure that their battleboxes are complete with all necessary business continuity information.	N/A	N/A	N/A	N/A	Further battlebox content check	N/A	N/A	N/A	SW	31/03/15
					N/A	N/A	N/A	To report back the results of each audit by this date	N/A	To report back the results of each audit by this date	N/A	N/A	SW	30/04/15

Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 27/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date	
5.0 COMMUNICATING BC TO STAFF														
5.1 Provision of information	Staff need to be able to access all relevant BC information. Ref: BC audit point 10. Ref; priority point 8 of the 2012 BC Strategy	(1) The Corporate Business Continuity Website to hold all updated BC Plans and the over-arching Plan together with information on how to comply with them. Assistance available from Corporate Support and Comms.	N/A	N/A	N/A	Plans published on website for: - Strategy & Corporate Services <ul style="list-style-type: none"> • Asset Management • Accountancy • Business Transformation Customer Services <ul style="list-style-type: none"> • Call Centre • Communications • Council Tax and Housing Benefits • ICT Support Services <ul style="list-style-type: none"> • Corporate Support • Electoral Registration • Legal • Printing Services 	N/A	Plans published on website for: - Planning, Development & Prosperity <ul style="list-style-type: none"> • Planning • Land Charges • Building Control Borough Health, Safety & Localism <ul style="list-style-type: none"> • Environmental Health • Licensing • Community Services • CCTV • Corporate Health and Safety • Business Continuity and Emergency Planning • Health and Wellbeing Housing <ul style="list-style-type: none"> • Street Scene & Environment • Depot • Parking 	N/A	N/A	N/A	N/A	EH	31/03/15
	5.2 Training of staff	Staff require training regarding the importance of BC and what is expected of them under the Plans. Ref; BC audit point 7. Ref; priority points 4 and 8 within the BC Strategy of 2012	(1) To invite staff by calendar invite to training sessions. (2) To deliver training.	Preparation for training	Preparation for training	Preparation for training	Invites to training sent out by this date	Preparation for training	Training delivered by w/c 23.03.15	N/A	N/A	N/A	EH	31/01/15

Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 27/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date
6.0 BC AWARENESS													
6.1 To ensure local businesses are prepared an incident occur	To produce guidance for businesses as to how to be prepared for events. Ref: priority point 4 of the 2012 BC Strategy	(1) To produce hard copy and internet based information for businesses	Preparation	Preparation	Preparation	Preparation	Preparation	Preparation	To produce hard copy and internet based information for businesses	N/A	N/A	EH	30/04/15
6.2 To ensure the public are prepared should an incident occur	To produce guidance for public as to how to be prepared for events. Ref: priority point 4 of the 2012 BC Strategy	(1) To produce hard copy and internet based information for the public.	Preparation	Preparation	Preparation	Preparation	Preparation	Preparation	To produce hard copy and internet based information for the public.	N/A	N/A	EH	30/04/15
6.3 Awareness seminars for businesses	To hold awareness seminars for business to explain how they can increase their resilience. Ref: priority point 5 of the 2012 BC Strategy	(1) To invite businesses to training sessions and to contact them where able through local Chambers of Commerce.	N/A	N/A	N/A	N/A	Send out training invite to businesses	N/A	N/A	N/A	N/A	EH	31/01/15
		(2) To deliver training.	Preparation for training	Preparation for training	Preparation for training	Preparation for training	Preparation for training	Training delivered	N/A	N/A	N/A	EH	30/06/15

Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 27/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date
7.0 RESOURCES FOR BC													
Resource	Additional resource will be discussed with Finance, however, it will be determined if monies within the Emergency budget may be diverted in to this area of work. Ref: BC Audit point 12.	If the DEPO is unable to provide sufficient resource to BC (two days per week) then additional FTE will be required.	An additional resource has been obtained through Elaine Hanlon.	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	MS	Completed
7.1 Availability of resource													

Objective	Goal	Tasks	Work required	Milestone by 30/11/2014	Milestone by 31/12/2014	Milestone by 31/01/2015	Milestone by 27/02/2015	Milestone by 31/03/2015	Milestone by 30/04/2015	Milestone by 31/05/2015	Milestone by 30/06/2015	Officer	Final Compliance Date
8.0 COMMUNITY PLANS													
Parish Plans	There are no up to date BC Plans for the Parishes	To develop BC plans for all parishes	Attended a course on how to determine risks within the Parishes and obtain a Parish BC Template	Preparation of Parish Plans	Preparation of Parish Plans	Preparation of Parish Plans	Preparation of Parish Plans	Preparation of Parish Plans	Preparation of Parish Plans	Preparation of Parish Plans	Finalising Parish Plans	MS/SW	31/07/15
8.1 To produce Parish BC Plans													



BRENTWOOD BOROUGH COUNCIL BUSINESS CONTINUITY (OVER-ARCHING) RECOVERY PLAN 2015-16



Responsibility for this Plan

Designation	Name
Business Continuity Plan Holder	Ashley Culverwell
Environmental Health Manager	Mark Stanbury
Business Continuity/Emergency Planning Coordinator	
Managers with responsibilities under this Plan	All

Version Control/Reviews

Version no.	Date	Summary of changes form previous version
1.0	12/01/2015	This is a new document

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POLICY STATEMENT

In the event of an incident at any of Brentwood Borough Council's premises, the Council will endeavour to continue to provide its high levels of service to members of the public and other users of services to the best of its ability.

Corporate Leadership Board (CLB) is directly responsible for the overall handling and effectiveness of this Business Continuity Recovery Plan. CLB and the Strategic Health and Safety Manager are responsible for annually reviewing the Plan and identifying any changes required. Changes may also be required should any key elements of the organisation change. It is important that all parts of the Council remain covered by this Plan.

Each Head of Service is responsible for ensuring that the detailed information applicable to their service is correct and up to date within their own Business Continuity Service Recovery Plans.

This document should be read alongside the Councils' Business Continuity Policy and Business Continuity Strategy both of 2014.

PART 1

1.1 INTRODUCTION

1.1.1 Nearly everyday there are many unpublished disasters, man-made and natural, which devastate both private and public sector business units. Where disruption affects critical business procedures, the consequences can be severe and include substantial financial loss, an inability to achieve levels of expected service, risks to public safety, welfare and financial hardship, embarrassment and loss of credibility or goodwill for the organisation concerned. The consequential damage can have a much wider impact on staff welfare and the general public. The benefit therefore of having a recovery plan that can be implemented with the minimum delay, will significantly reduce the level of disruption to Council Services and should ensure the rapid resumption of services to the public.

1.2 LINKS TO THE OPERATIONAL RISK REGISTERS

1.2.1 It is important that this over-arching Business Continuity Recovery Plan is effectively aligned with the Operational Risk Registers for all services. These are to be found on the Councils' microsite under the page 'Risk, Business Continuity, Emergency Planning and Insurance' and sub-page 'Risk Management'.

1.3 AIM

1.3.1 The aim of this '*over-arching plan*' is to provide a set of effective and practical procedures that will:-

- i) provide a corporate response for service areas to link in to as part of their individual recovery procedures
- ii) minimise disruption within each service area
- iii) enable normal working to be resumed in the shortest possible time

1.4 OBJECTIVES

1.4.1 The objectives of the plan are:-

- a) To mobilise the organisational resources required to manage the situation and recovery based on prioritisation of essential public services,
- b) To list the immediate action to be taken
- c) To provide realistic time-scales within the recovery process and return to 'normality'

1.5 RISK ASSESSMENT

1.5.1 This plan assumes an ultimate '*worst-case scenario*' in which critical information systems and resources are destroyed by fire, other natural events or by unauthorised persons committing acts of destruction, theft or sabotage that prevent key service delivery functions being undertaken.

The main risks have been identified as:-

- Total loss of building(s) due to fire, flood, explosion, malicious damage, non-access due to weather/security issues
- Partial loss of a building due to fire, flood, explosion, malicious damage,
- Loss of utilities – gas, electricity and water,
- Computer system failure, theft or cyber threat,
- Telephone system failure (internal and/or external),
- Loss of a number of key personnel due to injury/killed as the result of a pandemic illness/sickness,
- Loss of fleet – refuse/street scene vehicles,

An incident could result in one or a combination of any of these situations.

1.5.2 For the purposes of this over-arching Plan it is assumed that Brentwood Council's policies applying to records management and computer security are being applied in all offices. Similarly, this Plan also assumes that fire prevention, physical security and health and safety at work standards are also being applied.

1.5.3 The Plan also assumes that inventories of hard/software, other business systems and major items of equipment are maintained by services. It is the appropriate Head of Service's responsibility that these records are maintained as part of their day to day managerial accountabilities. These records will be stored within individual Service Plans and held electronically in the Councils' ['P' Drive/Business Continuity folder](#).

1.6 BUSINESS RECOVERY PROCESS

1.6.1 In order to instigate an appropriate response to the business recovery process, this Plan has made a number of main assumptions:-

1. If an incident occurs which requires the evacuation of a Council building then this will have been carried out using the normal practised evacuation procedures for those premises.
2. The emergency services will be on site and any known person(s) missing or otherwise unaccounted for, will be notified to the appropriate organisation.
3. If the missing person(s) is a member of staff then any personal details such as home address, telephone numbers and the next of kin information, will be made available as soon as possible to the relevant emergency organisation.
4. Sufficient financial resources will be made available through officers' with the authority to access funds to ensure that the business of the Council would continue to be run as efficiently and effectively as possible during the disruption.

5. In the event of a loss sustained at any Council's owned swimming/sports facilities, the site would be shut down by the Contractor and alternative arrangements made if appropriate.
6. Individual service delivery Business Continuity Recovery Plans are maintained for:-
 - All Services within the Town Hall
 - Council depot

1.7 KEY AREAS AND PRIORITIES

1.7.1 The Council undertakes a wide range of functions based upon a combination of Statutory Duty and provision of service to the community.

1.7.2 Within these functions there are key areas that the Council has a legal duty to either maintain a level of service or is required by law to complete a specific task by an agreed date.

1.7.3 Therefore certain aspects of the Council's business have been given a priority status, particularly those that operate within an office environment.

1.7.4 This will ensure that if they are affected, sufficient resources are deployed at the start of the recovery process to enable these areas to be up and running as soon as possible.

These key Service areas are:-

- Strategy & Corporate Support Services
- Customer Services
- Revenues and Benefits
- Planning, Development & Prosperity
- Borough Health, Safety & Localism
- Housing
- Street Scene & Environment

1.8 SERVICE RECOVERY PLANS

1.8.1 Each Service has identified its key functions as detailed in individual Business Continuity Service Recovery Plans. Actions within these have been prioritised as follows:-

Priority 1 - essential core business and supporting functions needing to be restored within 48 hours

Priority 2 - important core business and supporting functions needing to be restored within one week

Priority 3 - loss which would have no immediate impact on the service delivery but which needs to be restored in the longer term

Each Service Plan will contain all the detailed priorities for each service. They should be read alongside this over-arching plan.

1.8.2 The Business Continuity Service Recovery Plans also include: -

- Chief Executive & Head of Service contact details
- Section 151 Officer and Monitoring Officer details
- Key staff and contact details
- All staff in each Service
- Number of skeleton staff required
- Staff with mobile phones
- Staff with laptops and full system access
- Contact details of key suppliers/contractors/external partners
- What service that could be provided via home working
- Minimum service requirements

1.8.3 All Heads of Service must retain a copy of the Business Continuity Service Recovery Plans relevant to their area(s). An electronic version will be sent to CLB annually for information/ whenever reviewed. The Business Continuity/Emergency Planning Coordinator also holds a complete set in electronic format and in the authorities' ['P' Drive/Business Continuity folder](#).

1.9 EMERGENCY ACCOMMODATION

Short term: Depending upon the location and extent of the disaster, meeting rooms will be made available for use, at the following locations:-

- Town Hall, or
- Council Depot
- Brentwood Centre

Rooms at these locations will be used as 'Crisis Management Centres' / 'Emergency Communication Centres' and from here the response to the recovery will be initiated. Communication links will also be established from here which will provide for the dissemination of information. Links will also be made with responding agencies, staff and the incident site.

Staff will be advised as to where the initial gathering points will be for displaced staff and where information on the situation would be disseminated will be sited. This will be dependent upon weather conditions and availability of accommodation.

Medium term: Zurich Municipal Major Incident Team would be advised, by the Business Continuity/Emergency Planning Coordinator, of the incident. They will attend the site and work closely with the Crisis Management Team, any specialist experts and suppliers in order to locate temporary premises if needed or alternatively provide temporary on-site accommodation. Home working and hot-desking will be actively encouraged across all services. Where room facilities are specifically provided such as at the Brentwood Centre then these will be used in preference. Where further rooms are needed then space at the Depot may be used where this is available.

Long term: Zurich Municipal may consider that where a property is destroyed/part destroyed then rebuilding may not be the preferred option so a settlement may be agreed based on the notional cost of rebuilding.

Any decisions for long term accommodation requirement will be decided by CLB and the Council.

1.10 COMMUNICATIONS

Until such a time as the network can be reinstated either fully or partially, mobile telephones will be used together with emergency radios where appropriate.

In order to facilitate communication links between all agencies, an Emergency Communications Centre will be set up in the most appropriate location and populated with volunteers. These would be members of staff without any key designated roles who are able to put themselves forward to assist. The Emergency Communications Centre should be located in reach of good mobile signal.

The use of the Council's website and local media channels will be used to advise customers of the on-going situation and any changes to our normal service delivery.

Notice boards will also be used to inform staff and customers and placed prominently where they can readily be seen.

1.11 EMERGENCY STAFFING ARRANGEMENTS

1.11.1 In the initial stages of any disaster affecting the Council there will be some staff whose role will be immediate and crucial to the corporate response. It is for managers to decide who such individual persons' are relative to their existing work role. Therefore, an initial meeting of these key personnel should be convened as soon as practicable.

1.11.2 Once the initial briefing meetings have taken place and the scale of the disaster and its effects upon the Council's function have been identified, the Crisis Management Team will call in the appropriate key personnel and instigate recovery plans.

1.11.3 During these initial stages, any Council staff that is not involved with the initial emergency response will be advised to remain at home and arrangements made for them to be kept informed of events through their Heads of Service and the Council website.

1.12 SALVAGE

1.12.1 In the immediate aftermath of a serious incident there will be a requirement to initiate salvage operations and the repair of items contained in the damaged area. An inventory of usable equipment, furnishings, documents and supplies, will need to be compiled. Salvage information is included at Part 3.

1.13 FLOOR PLANS

1.13.1 Detailed floor plans for the Town Hall and Depot are available from the Head of Strategy and Corporate Services presiding over Asset Management (copies are also held electronically by the Business Continuity/Emergency Planning Coordinator in the [‘P’ Drive/Business Continuity folder](#)).

1.14 REBUILDING PROJECT

1.14.1 The repair/rebuilding of the premises will be regarded as a separate project and the normal consultation and planning procedures will apply. It will be part of the Crisis Management Team’s (Strategic) role to consider all reports on the condition of buildings and provide appropriate information and recommendations to the Council.

1.15 SCALING DOWN THE SERVICE TEAMS

1.15.1 Once the long-term recovery plans and procedures have been agreed and the administration process start to return to normal the full involvement of the Crisis Management Team will reduce.

1.15.2 All members of the Team will return to their main duties although meetings of the teams will still need to be held on a regular basis to monitor the progress of events.

1.16 ANALYSIS MEETING OF THE SERVICE TEAMS

1.16.1 Once the disaster has been dealt with and the operational and communications logs analysed, the whole disaster recovery process will need to be reviewed and where appropriate plans and procedures improved and amended in the light of experience.

1.17 FINAL REPORT TO THE CORPORATE LEADERSHIP BOARD AND COUNCIL

1.17.1 The final report will indicate any shortcomings that have been identified within this Business Continuity Service Plan and will recommend any actions that should be taken. This will be completed within two weeks of the incident.

PART 2

This part deals with how this over-arching plan becomes activated and the parts played by key personnel.

2.0 ACTIVATING THE PLAN

2.1 Once it has been established by those responding to the incident that the extent of the damage to council premises and/or loss of service will prohibit or restrict any essential services provided by the council, this over-arching Business Continuity Recovery Plan will be activated by the Chief Executive or nominated deputy.

2.1 STRUCTURE

2.1.1 CRISIS MANAGEMENT TEAM (Strategic) (CMT)

2.1.1.1 The Crisis Management Team will be formed without delay to manage the crisis (*as soon as one is apparent*) and will normally comprise of persons forming 'Gold Command' and the Senior Management Team at the Council. However, it may also include other officers as necessary.

2.1.2 CRISIS MANAGEMENT TEAM (CMT) RESPONSIBILITIES

2.1.2.1 These are as follows: -

- a. Evaluating the extent of the damage and the potential consequences.
- b. Implementing measures to prevent injury or loss of life, property and resources and making the site secure and safe.
- c. Authorising recovery procedures in order to provide an operational service to staff and clients.
- d. Disseminating information to the public through the news media.
- e. Ordering and acquiring replacement equipment where so authorised.
- f. Keeping control of expenditure arising out of recovery operations.
- g. Organising the return to normality once the emergency period has passed

2.1.3 CRISIS RECOVERY TEAM (Operational) (CRT)

2.1.3.1 Once any crisis has passed it may be necessary to initiate a longer term managed recovery phase. This does not need to comprise members of Gold Command but may include the following officers as necessary: -

Chair of Recovery Team: Appointed by the Chair of Crisis Management Team

Head of Customer Services: organises the implementation of replacement hard/software, network and communication links, and implementation of the ICT Business Continuity Service Recovery Plan.

Head of Strategy and Corporate Services: organises salvage, site security, cleaning and the acquisition of alternative accommodation. Authorises any

expenditure needed for the prevention of further loss of life or injury, loss or damage to property and assets and for making sites secure and safe. Liaises with the Council's Insurers (Zurich Municipal), ZM Major Incident Team (*if applicable*) and loss adjusters

Head of Support Services: organises the replacement of damaged equipment and supplies. Monitors and implements where necessary, staff welfare processes. Implementation of the Home Working Policy where necessary. Organises press statements, interviews, responds to media enquiries and agree suitable public information points.

Environmental Health Manager: establishes operations area for Crisis Management Team, Emergency Communications Centre.

Monitoring Officer: Ensures Legal compliance by the Council.

2.2 STAFF CALL-OUT PROCEDURES

2.2.1 Normal emergency call-out procedures will be activated. The regularly updated '*Confidential Call Down List*' (issued by the Business Continuity/Emergency Planning Coordinator) gives contact details for specific officers. Key personnel will be contacted as required. The Confidential Call Down List is circulated to all managers every quarter by the Business Continuity/Emergency Planning Coordinator.

2.2.2 A decision will be made as to where the Crisis Management Centre is to be located. This will provide a communications and administrative link between all those either involved with the response, employees or members of the public requesting information on any aspect of the incident and recovery process.

2.3 INITIAL RESPONSE

2.3.1 A permanent log needs to be maintained for all actions/decisions taken by the Crisis Management Team and the Crisis Recovery Team. This will take the form of a diary – there is no specified recording format.

2.3.2 The Crisis Management Team, led by the Chief Executive or nominated deputy, will make an initial assessment of the level of response required based upon the information available. If appropriate this will include relocation of the response to alternative premises if the incident denies them the use of the Town Hall or Depot. The Brentwood Centre may be used for this purpose.

2.3.3 Once activated, the team will liaise with the Emergency Services and any other key personnel within the Council that are be appropriate to provide a co-ordinated response.

2.3.4 Their first priority will be to establish the exact situation and implement appropriate procedures for dealing with the initial issues relating to:-

1. Staff/Members and their continuing functions
2. The Public
3. Buildings
4. Media

2.3.5 Administrative Staff will be provided, in the initial stages of the incident where they have been already trained as District Emergency Response Staff Volunteers.

2.4 INITIAL BRIEFING

2.4.1 A briefing of all those involved at management and advisory levels will be convened by the Chief Executive or nominated deputy as soon as reasonably practicable.

2.4.2 A schedule of meetings will be organised and the specific roles and responsibilities relating to Council officers will be agreed.

2.4.3 Once the initial briefing has taken place, depending upon the area(s) affected, Heads of Service will attend the Crisis Management Team to provide details of their priority requirements for providing continuity of service.

2.5 INITIAL ACTIONS

2.5.1 If the incident affects the Town Hall (or any other Council building) to such an extent to prohibit the use of any part of the building, then non essential staff normally occupying those offices will be instructed to go home and keep in daily contact with their line manager who will inform them where and when they should return to work.

2.5.2 Where practicable Line Managers, as part of their Stage One Recovery Plans will have made arrangements for certain staff to work from home and these arrangements will be implemented as soon as possible.

2.6 TIME-SCALES

2.6.1 Throughout the response until the restoration of normality there will be a series of critical phases, which will measure the progress of the recovery. It is therefore important to ensure that the actions of the Crisis Management Team work to an agreed time-scale.

THE FIRST 24 HOURS

The response during the first 24 hours will concentrate upon: -

1. Assessment of the current situation
2. The resources required to provide temporary arrangements for delivery of essential services.
3. Report initial actions to the Crisis Management Team and obtain an agreement on strategy for the next 24 hours.
4. In order to provide some structure to these meetings the following time-line has been agreed:-

Brentwood Borough Council Business Continuity Plan

<i>Time Line</i>	+ 1 Hour	+2 Hours	+ 2 ½ Hours	+ 3 Hours	+ 6 Hours	+ 10 Hours	+ 24 Hours
Incident							
<i>Chief Executive Informed</i>	CMT assemble at agreed location	Initial Briefing Assessment	Key Staff contacted - Operational	1 st briefing	Inspection of premises by Building Control Staff	2 nd Briefing	3 rd Briefing
Normal Call Down activated							
		Corporate Strategy agreed – Including finance & media		<i>Initial actions</i> Resources available Services involved Statutory Services affected Staff Issues Public Information Building security Member involvement H&S including PPE		<i>Actions taken</i> Arrangements for delivery of essential services Inspection reports Problem areas	<i>Actions taken</i> Restoration time-scale Salvage Ongoing issues Rules & Regulations

The Crisis Management Team will also be responsible for ensuring that the Crisis Recovery Team have procedures in place to ensure that the following actions are carried out on a regular basis: -

- § Inform and update staff not directly involved in recovery, and Council Members.
- § Arrange for Customer Services to deal with and disseminate multiple requests for information from responding organisations, staff and members of the public
- § Establish and maintain liaison with insurers/adjusters
- § Establish and maintain temporary accounting arrangements (if required)
- § Confirm and implement legal requirements re Health Safety and Welfare of Staff
- § Implement Emergency Expenditure codes.

TWO TO FIVE DAYS

Daily meetings of the Crisis Management Team and Crisis Recovery Team and co-opted members from key areas should be held as required to: -

- a) Review actions taken in the first 24 hours.
- b) Receive reports from officers on outstanding issues
- c) Propose strategy for the next 24 hours to include issues relating to: -
 - Finance
 - Insurance

- ICT
- Damaged building(s)
- Temporary Accommodation
- Staffing requirements
- Communication arrangements (staff, public, media)
- Staff Welfare Issues

THE NEXT TWO WEEKS

Once the appropriate procedures are in place and operating further issues will need to be discussed and agreed which will include: -

Reoccupation of slightly damaged property

- Prioritise users,
- Optimise use (24 hour / 7 day working)

Temporary accommodation

- Establish location,
- Services available, and
- Services required

Temporary staffing arrangements

- Possible secondments
- Possible hiring of Specialist staff

Staff Welfare Issues

- Funerals
- Care of bereaved families
- Memorial Fund
- Visiting injured
- Return to work of some of those involved in the incident
- Monitoring staff wellbeing
- Sickness monitoring
- Maintaining and enhancing communication methods

Consolidate working arrangements

- Home working – where practicable
- Shift working – where practicable
- Desk sharing

Security of premises

- Use of district staff to secure operational buildings
- Use of contracted staff to patrol damaged buildings once emergency services have departed, if appropriate

Cleaning contracts for offices in use

- Establishing requirements for cleaning premises

Mail

- Delivery
- Collection
- Sorting and postage

Salvage

- Assessment of recoverable items
- Recovery process and time-scales
- Use of specialist Contractors
- Plant/Machinery
- Equipment
- Records/Documents

Finance

- Insurance/ Loss Adjusters
- Claims
- Income
- Payments

Legal issues

- Establishing cause
- Preparing for inquest (if appropriate)
- Preparing for public enquiry (if appropriate)
- Recovery of uninsured costs (if appropriate)

Rebuilding

- Plans
- Site Clearance
- Time-scales

Information and communications systems

- Power issues
- Provision of adequate power supply
- Number of priority extensions required
- Provide building layout drawings and patching records
- Establish appropriate communications systems with
- Staff
- Media
- General Public

ONE MONTH ON

By this time professional advice and services will have been obtained where necessary and a clear picture will have formed of such things as:-

- Staffing levels
- Interim Working practices
- Percentage of salvageable resources
- Demolition of damaged structures

- Estimated rebuilding time-scale
- The use of any temporary accommodation
- Purchase/lease of essential equipment
- Supply of furniture, books, machinery etc

This stage is an ongoing process. The disaster has occurred, it has been brought under control and the pattern of working during the rebuilding time is being established. If temporary buildings have been erected on site or alternative premises have been located then occupation of these will begin. This will be regarded as a normal removal process.

The emphasis will change from responding to the incident and restoring a level of service to planning/development meetings for the rebuilding phase. In this phase the Council will need to assess long-term replacement needs and work closely with the Council's Insurers.

RETURN TO NORMALITY

Eventually there will come a stage where the Council will return to normal working practices. It may be deemed appropriate, particularly if lives were lost, to have some type of permanent reminder of the event.

Every effort should be made to ensure that anything of this nature is undertaken in consultation with not only the families and work colleagues of those lost in the incident but also the general public.

PART 3

3.0 SALVAGE OPTIONS

3.0.1 This part refers to situations where damage has occurred to records held in paper format or to computer equipment. Salvage may be an important option depending on the state of damage and whether it is safe to undergo such a process. Salvage might save precious time and enable work to get back to normal much quicker than would otherwise have occurred.

3.1 SALVAGE – MAIN PROBLEMS/SAFETY

3.1.1 Salvage may form an integral part of recovery. The Council will want to salvage items where practicably possible, however the effectiveness of this depends upon the type of losses involved. If individual contingency plans are well planned however through adequate back-up and practice then losses will be reduced.

3.1.2 For reasons of health and safety the recovery of buildings or contaminated items may be limited.

General – Apart from the obvious and visible damage, those involved in the salvage process need to be aware of:-

- a. Health & Safety problems such as chemical contamination, asbestos and live electricity supplies. An asbestos register is retained by Asset Management for each building.
- b. Deterioration of materials through high humidity or chemical attack:-
 - (1) Hydrochloric acid arising from the combustion of PVC can penetrate concrete in wet conditions and cause corrosion of the reinforcing steel.
 - (2) Hydrochloric acid will also quickly corrode any proposed metal surface such as steel pipes, tubes galvanised conduits, cable trays, trunking, aluminium partitions and window frames. Removal of the corrosion product and the chloride contamination is all that is required to restore them to full function and to ensure that no further deterioration will occur.
 - (3) After a fire, clean-up materials used in fighting a fire (water, halon, foam, dry powder)
- c. Dirt and contamination can spread from damaged parts of a building to clean parts.
- d. Theft can occur from the damaged building.
- e. On-going damage can occur from wind and rain.

3.2 ENTRY INTO DAMAGED BUILDINGS/ROOMS (GENERALLY)

3.2.1 Entry in to restricted areas carried out safely. Only authorised personnel are permitted into rooms that have been damaged. A risk assessment may need to be conducted in order to prevent exposure to risk. This may include the need to wear PPE to prevent injury. Access must be controlled in the following ways: -

- a. Do not permit entry to any damaged building until it has been declared safe by both the Fire Service and Building Control officers.
- b. Allow only authorised personnel wearing appropriate protective clothing to enter.
- c. Cut off all power supplies to the damaged area(s).
- d. Check for hazards.
- e. Identify and protect any evidence of deliberate damage.
- f. Cut off water supply to leaking pipes.
- g. Make safe damages structures, erect safety barriers, hazard signs and identify walk routes.
- h. Protect undamaged equipment: cocoon in polythene

3.3 ENTRY INTO ROOMS CONTAINING COMPUTER EQUIPMENT

3.3.1 Entry in to computer equipment rooms must be controlled in the following ways. Only authorised personnel are permitted into rooms that have been damaged. A risk assessment may need to be conducted in order to prevent exposure to risk. This may include the need to wear PPE to prevent injury. The type of PPE chosen will be dictated by any health and safety risk assessment conducted.

- a. Ensure that all power is turned off.
- b. Protect any undamaged equipment (cocoon or remove carefully).
- c. Remove surface dust, debris/soot with a brush or vacuum cleaner.
- d. Remove water and start the drying process
- e. Consult Salvage Engineer (Zurich Municipal) on the next steps.

3.4 RESUMPTION OF OPERATIONS

3.4.1 It is within the interests of the Council and its stakeholders that services return to normal as quickly and safely as possible. The following steps should be taken in the resumption of operations: -

- a. Ensure safe, controlled access to all affected areas
- b. Protect any affected areas from the elements
- c. Recover critical materials and dispose of any waste
- d. Nominate temporary accommodation for storage of undamaged / damaged equipment and records.
- e. Arrange for temporary power supplies
- f. If air-conditioning or heating is available, raise the temperature where drying out is necessary
- g. Provide ventilation to aid drying.
- h. Maintain an inventory of equipment damaged / lost and replaced / repaired.
- i. Arrange for demolition and site clearance where necessary.

3.5 RECOVERING DAMAGED PAPER DOCUMENTS

3.5.1 Documents are easily damaged by fire and water, but recovery of the information is often possible and sometimes recovery of the documents themselves. Although considerable self help will be required, Brentwood Borough Council, in conjunction with our insurers, will appoint a restoration contractor.

3.5.1.1 Types of Documents

Documents can be broken down into four categories:-

- i. Record or information retrieval ('loose' documents)

Record retrieval can be summarised as the relatively simple act of recovering the information which is recorded, without the need of the original document. In this instance a photocopy or an electronic record will suffice.

- ii. Original document retrieval ('loose' documents)

Original document retrieval involves retention of the original document as the valid record. This may be because of a legal or similar statutory requirement.

- iii. Book retrieval ('tight' documents)

Book retrieval is where the 'victims' are bound volumes which are unlikely to have been deeply penetrated by the smoke fumes and/or water.

- iv. Art paper retrieval ('tight' documents)

Art paper or coated paper which has been finished to a high gloss or treated in some other special manner presents a particular problem. Once this type of paper gets damp and begins to dry, the leaves fuse together and become permanently bonded.

Whatever the category, the aim behind all document recovery is to reinstate documents that can be read, handled and stored.

3.6 MAIN PROBLEMS WITH RETREIVING PAPER DOCUMENTS

3.6.1 Mould will begin to appear within 48 hours in moist conditions and if the temperature is above 60° C removal of the marks left by mould is almost impossible.

3.6.2 Wet paper is very heavy and is very easily damaged by handling. It is an unpleasant job as documents to be recovered are dirty, wet and smelly. Possible health problems for people doing the job, from polluted water and dangerous dust. Logistic problems of separating each page to dry, then re-assembling the documents correctly.

3.6.3 Successful recovery of documents is dependent upon prompt initial actions:-

- a. Prevent uncontrolled drying or crumbling by keeping the documents closed and gently wrapping them in cling film. Store the sealed documents temporarily in archival sized boxes to aid handling and identification.
- b. Freeze the documents – this prevents mould growth and protects against damage while handling. A commercial frozen food trailer provides a useful first-aid cool chamber.
- c. Get professional advice and help by consulting with the Council's insurers.

3.7 DAMAGED COMPUTER AND COMMUNICATIONS EQUIPMENT

3.7.1 Computers and communications equipment are vital to the organisation. Services cannot be effectively delivered without these facilities. Facilities must be in place as back-up arrangements and these are reflected in individual Service Plans. Where damage has occurred to these facilities then the following rules apply: -

- a. It is vital that in the event of damage to computer and communications systems, caused by fire, smoke, water, chemicals etc, qualified engineers take remedial action as soon as possible.

The speed with which corrosion damage occurs to electricals will depend on the conditions. In extreme conditions of heavy contamination in a hot, moist environment, it is vital that salvage begins no later than 24 hours after the incident has occurred. In warm, dry conditions, unpowered equipment will resist corrosion for a long time.

In either case, it should not be assumed that equipment is a total loss just because there has been a delay.

- b. The following general rules will help to minimise the damage caused: -
1. **Do not immediately switch on equipment** which may be damaged, wet or contaminated (even for a few seconds to see whether it works) as this will cause power supply problems such as to the on-board batteries.
 2. Do not move damaged or contaminated equipment unless absolutely necessary.
- c. In cases of fire: -
- i. The heat from the fire will cause direct damage but electronic equipment will stand temperatures up to 700° C if switched off. If there is still paint on metal parts and plastic parts have not melted, the equipment may still be recoverable. Any water used for freighting on upper floors will lead to dirt and acid contamination on lower floors.
 - ii. Soot (carbon particles) will absorb water, creating a moist environment which helps corrosion. It will settle on circuits and components inside equipment and cause short-circuits of electronic power is supplied.
 - iii. PVC is a plastic which is used extensively in modern buildings, cable installation, furniture, document binders etc. When PVC is burned, it produces a large volume of hydrogen chloride gas which, when combined with airborne water vapour, form hydrochloric acid (a kilogram of PVC will produce 1.4 litres of concentrated acid). The acid condenses on cool surfaces throughout the building where the fire was, including circuit boards inside equipment in areas which seem to be little affected by smoke.
 - iv. Unpowered circuits are reasonably resistant to attack but any electrical activity will cause shorting and electroplating. Exposed metal surfaces (steel, stainless steel, galvanised steel, aluminium, brass, copper) will corrode rapidly. Water and humid air greatly increases the rate of corrosion.
- d. Remedial Action after fire
- i. Ventilate the whole building as soon as possible in order to disperse smoke and other contaminants.
 - ii. Remove or isolate the power including battery back-up supplies.
 - iii. Lower relative humidity to minimise corrosion. Fan heaters with dehumidifiers are a good combination. Do not use oil stores or propane gas heaters as these generate water vapour.

- iv. Cover items that cannot be removed with plastic sheeting and place dehumidifiers under the sheeting.

3.8 WATER DAMAGE TO COMPUTERS

3.8.1 Dirty water, sludge and possibly chemical contaminants may breach the casings of computers and communication equipment. This will cause damaging short circuits if the equipment is powered up and the dampness will speed up corrosion.

3.8.2 Water may have soaked into the fabric of the building thus maintaining a high level of humidity long after the water has been removed.

3.8.2 Remedial Action after Water Damage - the main requirement is to minimise corrosion until equipment can be washed by removing the water and then lowering the relative humidity of air. The following should be followed: -

- i. Remove or isolate all power including battery back-up supplies to prevent shorting.
- ii. Tilt equipment so that water runs off the circuit boards and out of the equipment.
- iii. Carefully remove portable equipment to a clean, dry area.
- iv. Cover any items that cannot be moved with plastic sheeting to protect from falling water.
- v. Ventilate the effected area.
- vi. Remove wet objects that will retain water, such as carpets, curtains and paper.
- vii. Use dehumidifiers to remove moisture from affected areas.

PART 4

This part of the over-arching plan gives details on what Service Plans there are, the work areas these encompass and where these should be located. It also describes what battle boxes should contain.

4.0 SERVICE PLANS AND THE AREAS COVERED

4.0.1 This Business Continuity Document represents the Borough's over-arching plan which sits above the individual Service Plans. Each individual Service Plan may incorporate several Service Divisions beneath as follows:-

Strategy & Corporate Services

- *Asset Management*
- *Accountancy*
- *Business Transformation*

Customer Services

- *Call Centre*
- *Communications*
- *Council Tax and Housing Benefits*
- *ICT*
- *Revenues and Benefits*

Support Services

- *Corporate Support*
- *Electoral Registration*
- *Legal*
- *Printing Services*

Planning, Development & Prosperity

- *Planning*
- *Land Charges*
- *Building Control*

Borough Health, Safety & Localism

- *Environmental Health*
- *Licensing*
- *Community Services including Events*
- *CCTV*
- *Corporate Health and Safety*
- *Business Continuity and Emergency Planning*
- *Health and Wellbeing*
- *Community Safety*

Housing Services

Street Scene & Environment

- *Depot*
- *Parking*

4.0.2 A copy of each of these Service Plans will be held within battleboxes kept in their respective services and a duplicate of each will be held at the council depot. All plans will be date versioned. All electronic copies will be held in the '[P Drive/Business Continuity folder](#)'. All Heads of Service must ensure that their managers have access to this drive.

4.1 MANAGEMENT OF SERVICE PLANS

4.1.1 Heads of Service and their managers are responsible for ensuring that their Plans for all the areas they manage remain up to date and are reflective of current arrangements. Plans should also be reviewed periodically and modified when any significant staffing or organisational changes occur. Managers are also expected to meet and discuss their plans as a group as it is essential that the plans inform each other as well as the over-arching plan. Modification of this over-arching plan is the responsibility of the Strategic Health and Safety Manager.

4.2 MANAGERS' MEETINGS CONCERNING THE SERVICE PLANS AND BATTLE BOXES

4.2.1 Heads of Service or their Managers are expected to attend six-monthly meetings concerning their plans and battle box contents. These meetings will be convened by the Strategic Health and Safety Manager and will be minuted.

4.3 BATTLE BOXES LOCATION AND REMOVAL

4.3.1 All Services will have battle boxes holding all key information required to keep services running so far as is practicable. It is the responsibility of all Heads of Service and their managers to ensure that the contents of all battle boxes remain up to date at all times, including the reserve battle boxes located at the depot. When managers meet they must bring both their primary and reserve battle boxes to the meetings as the contents must match. A list of typical battle box contents has been produced by the Business Continuity/Emergency Planning Coordinator and sent to all Heads of Service and Managers concerned. It is shown below.

4.3.2 All battle boxes must be kept in designated locations within the Town Hall and Depot. Each battle box at the Town Hall will have a designated custodian who will be responsible for storing the Battlebox and taking it with them in any event where they are required to evacuate the building such as during a fire alarm situation. It is for Heads of Service to choose a suitable person as a custodian within their workplace. This could be an existing Fire Marshal whose job it already is to evacuate a section of the workplace. As for the battleboxes held at the depot, should this building require evacuation then all battleboxes must be removed from the building collectively in one go.

4.4 EXAMPLE CONTENTS OF A BATTLE BOX

4.4.1 Battleboxes should contain the following: -

- Up-to-date copy of the relevant Service Business Continuity Recovery Plan
- Up-to-date copy of the Over-Arching Business Continuity Recovery Plan

- Up to date staff contact information
- Suppliers and contractors contact details
- Copies of any dormant contracts with external resources such as contractors
- Computer-stick back-up of critical documents/ activities
- Paper copies of all Notices
- Paper copies of all procedures
- Other essential papers; i.e. bank details, insurance details
- Stationery; e.g. message pads, flip chart, coloured pens, pencils, chalk
- Service specific items; i.e. logo stamps, templates and forms
- To do lists; immediately following an incident & past the immediate first hour after an incident
- Any vital records
- A description of the premises, this should contain information on:-
 - Location of the emergency exits.
 - A primary meeting point in case of evacuation
 - A fall-back option if there is a need to evacuate in a different direction
 - Details of what the premises contain.
 - Information that is important and specific to premises i.e. storage facilities

4.5 AUDITING OF BATTLE BOXES

4.5.1 From time to time the contents of battle boxes will be audited and against the contents list placed within each. For this reason managers must ensure that the contents of each are continuously kept up to date. The results of each audit will be presented to CLB.

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**BRENTWOOD BOROUGH COUNCIL
 BUSINESS CONTINUITY SERVICE RECOVERY
 PLAN FOR.....**

PHOTO

Responsibility for this Plan

Designation	Name
Business Continuity Plan Holder
Managers with responsibilities under this Plan

Version Control/Reviews

Version no.	Date	Summary of changes form previous version

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PART 1

1.1 INTRODUCTION

1.1 This is the Divisional Recovery Plan for centred at the Town Hall, Ingrave Road, Brentwood. The activities of this service include Within these disciplines employees undertake office work and field operations. This plan provides for continuity and sets out measures in place to sustain these services (*so far as is practicable*) should critical elements be degraded or lost. The service relies heavily on its staff and administrative back-up given that it is largely a statutory function charged with the responsibility of public safety.

1.2 Within these disciplines employees undertake This plan provides for continuity and sets out measures in place to sustain these services (*so far as is practicable*) should critical elements be degraded or lost. The service relies heavily on its staff and administrative back-up given that it is largely a statutory function charged with the responsibility of

1.2 AIM

1.2.1 The aim of this plan is to provide a set of effective and practical procedures that will: -

- i) Provide recovery in all work areas within
- ii) Minimise disruption within the service
- iii) Enable normal working to be resumed in the shortest possible time after a crisis

1.3 OBJECTIVES

1.3.1 The objectives of the plan are to:-

- a) Mobilise the organisational resources required to manage the situation and recovery
- b) Identify the immediate action to be taken
- c) Provide realistic time-scales within the recovery process and a return to 'normality' as quickly as possible

1.4 FUNCTIONAL ELEMENTS

1.4.1 The Service function includes the following elements: -

- i.
- ii.
- iii.
- iv.
- v.
- vi.

- vii.
- viii.

Elements are those which are statutory and will receive the highest priority. Elements are discretionary and will receive secondary priority where this is required.

1.4.2 This Service Division Recovery Plan also includes information on: -

- Head of Service contact details
- All staff contact details
- Minimum staffing requirements
- Staff with mobile phones
- Staff with external system access
- Systems software requirements
- Contact details of key suppliers/contractors/external partners
- Services that could be provided via home working
- Equipment necessary for function

1.5 RISKS TO THE SERVICE

1.5.1 This plan assumes an ultimate '*worst-case scenario*' in which critical information systems and resources are destroyed by fire, other natural events or by unauthorised persons committing acts of destruction, theft or sabotage that prevent key service delivery functions being undertaken.

1.5.2 The main risks to have been identified as:-

- Total loss of building(s) due to fire, flood, explosion, malicious damage, non-access due to weather/security issues
- Partial loss of a building due to fire, flood, explosion, malicious damage,
- Loss of utilities – electricity and water,
- Computer system hardware damage, part or system total failure, theft or cyber threat,
- Telephone system failure (internal and/or external),
- Loss of a number of key personnel due to injury/killed as the result of a pandemic illness/sickness,
- Loss of equipment which is required to support functions
- Loss of vehicles (provided by the Council or its own employees)
- Loss of external access to computer systems

An incident could result in one or any combination of these situations.

1.5.3 For the purposes of this Plan it is assumed that Brentwood Council's policies applying to records management and computer security are being applied in all offices. Similarly, this Plan also assumes that fire prevention, physical security and health and safety at work standards are also being applied.

1.5.4 The plan also assumes that inventories of hard/software, other business systems and major items of equipment are sufficiently maintained. It is the appropriate Head of Service's responsibility that such records are kept as part of their day to day managerial accountabilities.

1.6 LINKS TO THE STRATEGIC RISKS REGISTER

1.6.1 This Business Continuity Plan links in with the Strategic Risk Register – Risk Number relating to '.....'.

1.7 BUSINESS RECOVERY PROCESS

1.7.1 In order to instigate an appropriate response to the business recovery process, this plan also assumes that:-

1. If an incident occurs which requires the evacuation of that part of the building occupied by then this will have been carried out using the normal practised evacuation procedures for those premises.
2. The emergency services will be on site and any known person(s) missing or otherwise unaccounted for, will be notified to the appropriate organisation.
3. If the missing person(s) is a member of staff then any personal details such as home address, telephone numbers and the next of kin information, will be made available as soon as possible to the relevant emergency organisation.
4. Sufficient financial resources will be made available to ensure that the Service would continue to be run as efficiently and effectively as possible during the disruption.

1.8 KEY FUNCTIONS AND PRIORITIES

1.8.1 The Service has within this Plan identified its key functions and prioritised these in detail these are: -

PRIORITY 1 - essential core business and supporting functions needing to be restored in the shortest time possible but within 48 hours			
Reference	Element involved	Activity	Recovery time
P1.1			
P1.2			
P1.3			
P1.4			
P1.5			
P1.6			
P1.7			
P1.8			
P1.9			
P1.10			
P1.11			
P1.12			

PRIORITY 2 – business and supporting functions needing to be restored within a week			
Reference	Element involved	Activity	Recovery time
P2.1			
P2.2			
P2.3			
P2.4			
P2.5			
P2.6			

PRIORITY 3 – non essential core business and supporting functions needing to be restored within the longer-term			
Reference	Element involved	Activity	Recovery time
P3.1			
P3.2			
P3.3			

These priorities must be adhered to so as to ensure maximum use of resources.

1.9 EMERGENCY ACCOMMODATION

Staff are used to working within a fixed office environment. All employees within work in this way unless working from home or on district duties. The loss of an office even in the short term can disrupt services and their continuity. This should be managed as follows:-

Short term: Should staff be displaced then as directed by CLB or their Head of Service they will be advised where to gather and where information vital to them will be displayed. Alternative work location(s) will also be identified. Where other offices within the Town Hall are available then these may be used to temporarily house staff. If that is not feasible then some staff may be accommodated at the Depot. However, given that many are already able to work from home then this may be the most favourable option if working space is at a premium.

Medium term: Should a defined workplace within the Town Hall not be available for medium term use then the Council will make further provision as necessary. The Brentwood Centre is contracted to make working space available in such circumstances but this may be limited depending upon the number of people displaced at any one time. Provisions to work remotely from this location are currently being finalised by I.T and will be announced.

Long term: Should staff be displaced in the longer term then the Council may consider a renting solution. This might occur should the workplace have been totally lost requiring a rebuild or permanent move to a new location. Chromex as property managers at the Town Hall may provide rented space. Alternatively, office space may need to be rented elsewhere from another provider. Decisions on this scale will be made by the relevant Head of Service concerned in association with the Chief Executive given the high cost implications to the council.

PART 2

2.1 STAFFING PROVISIONS

2.1.1 Staff are critical to the business operation as there are no automated elements to the service. The service will do all it can within the availability of its assets, equipment and finances to enable employees to keep working within a conducive environment and thereby continue their employers' business. Where business continuity is put in to operation then it is intended that this is achieved in a seamless fashion wherever possible. Given that the loss of colleagues and normal workplaces may be stressful, managers must support their staff through these episodes and take time out to listen and respond to any fears or concerns.

2.1.2 All staff are considered critical to the operation, however, in cases where staff are lost then those remaining may be requested to fulfil other duties as necessary depending on what their qualifications and experience allow. As a consequence, managers will need to apply the correct processes of risk assessment so as to avoid any foreseeable hazard or risk to those remaining. Where there is any case of infectious disease then employees may be asked not to work in the vicinity of others until they are sufficiently recovered.

2.1.3 Staff within this Service, their positions, remits and contact details are located in a Confidential List at Appendix A. This is available to managers only. The list also contains information concerning contractors as in some cases these are responsible for over 85% of outputs (such as with food safety inspections).

2.2 MINIMUM STAFFING LEVELS

2.2.1 In the longer term, services cannot be run effectively without full staffing. However, in a contingency situation where employees are lost there needs to be enough persons available to hold the services together until they fully recover. Although this may be acceptable in the short term it will not be in the long term. In all cases pecuniary resource must be directed to statutory functions first and non-statutory second, however, non-statutory services cannot be sacrificed for the sake of statutory services otherwise they may ultimately be lost. It is also important to note that not all jobs are interchangeable, in which case it may be necessary to source qualified staff from elsewhere such as agencies.

2.2.2 In cases of contingency, Heads of Service and Managers will need to be aware of available staff numbers/locations, decide on the work to be prioritised and what needs to be redistributed or assigned to preferred external providers as necessary. These may be private organisations or perhaps other neighbouring authorities.

2.2.3 In cases where buildings are rendered out of use in whole/part then staff may be directed to work from home where able. In such circumstances managers must ensure that appropriate Display Screen Equipment assessments have been conducted on their work stations as soon as practicable such are the requirements of the DSE Regulations 1992. Where lap tops are available then these may also be used provided that they too have been assessed in this way.

2.2.4 In prioritising work during situations of contingency Heads of Service and Managers must be aware of the need to complete work which was put on hold during the contingency situation. Additional staff/resources may be required to assist with any such back-logs.

2.3 ESSENTIAL LINES OF CONTACT

2.3.1 In some cases there are lines of communication which are preferred over others within a business continuity situation. This may be a main telephone line or email address and certain points of information. For these are as follows: -

Contact	Number
Main telephone line into Call Centre	01277 312500
Fax line	
Central Admin email address	

2.4 SOFTWARE REQUIREMENTS

2.4.1 Beside the suite of Microsoft programs provided there is also dependency upon other programmes for data storage and retrieval. For these are as follows:-

System	Providing
Staff Intranet	For access to all internal
Extranet	For access to the World Wide Web
efinancials	For accessing financial data

2.5 DEPENDENCY ON SYSTEMS AND EQUIPMENT

2.5.1 Systems and equipment are needed to carry out almost all functions. In situations where contingency is invoked, the minimum system and equipment requirements per officer are as follows:-

Name	Position	Desks and chair sets required	Desk telephone required	Desk PC required	Remote access to I.T suite of programmes (via dongle)	Access to photocopier and printer	Specific equipment required	Car required for duties (Essential User)
State	State	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	List	Yes/No

--	--	--	--	--	--	--	--	--

2.5.2 In extreme situations it may not be necessary to provide permanent desks, chairs and desk-top computers for all officers as their functions will also include district work and a certain amount of 'hot-desking' may be undertaken. Under such circumstances these facilities may be temporarily reduced by around%. Also, the majority of staff have been provided with external access to the suite of Council programmes and drives in common use. They may therefore work from home where they have such access, but only where servers remain functioning.

2.6 GENERAL DATA STORAGE

2.6.1 Data is commonly held on several mainframes located across the Council. Should one of these fail then there are back-up servers which should hold mirrored information. It is for managers to determine where best to store data and on what drives. In a business continuity situation it may not always be possible to access data where servers are lost, in which case all services are expected to be have Battle Boxes holding vital information and formwork in paper format and upon USB sticks. iGels are not currently configured to read from USB sticks meaning that for the moment information upon them would need to be downloaded by ICT to be accessible. This is being resolved.

The Battle Box for is located precisely at:	
The Custodian for back-up Battle Boxes at the Depot is:	

3.2 OTHER BATTLEBOX CONTENTS

Aside from essential formwork within battleboxes there are a number of other items which should be included such as: -

- The Brentwood Borough Council Over-Arching Business Continuity Plan
- The relevant Business Continuity Plan for this Service
- Stationery; e.g. message pads, flip chart, coloured pens, pencils, chalk
- Service specific items; i.e. logo stamps, templates and forms
- Dongles holding copies of all the formwork and procedures relevant to the Service
- Any other vital records such as authorisation documents
- A plan of the office showing the emergency exits
- A torch with batteries
- Mobile phone chargers

3.3 FINANCIAL ARRANGEMENTS

3.3.1 In cases where business continuity is invoked it may be necessary to purchase goods or services in order to carry on services.

3.3.2 There are no specific contingency funds for business continuity, however managers are authorised to spend within designated limits as follows: -

Name	Amount

3.3.3 It is important that a record of all such purchases is kept along with a reason as to why the purchase was necessary for accounting reasons. Some officers have been issued with a Council Debit Card and this should be used in preference to any cash or personal transactions.

The officer who carries the Council Debit Card for is:	
---	--

3.4 THIRD PARTY ARRANGEMENTS AND SUPPLIERS

3.4.1 In some cases there are third party arrangements struck with external organisations/companies to provide goods and services. Some of these arrangements

PART 4

4.1 TESTING OF THE SYSTEM

4.1.1 From time to time, business continuity may be tested within as in other services too. This will occur on an annual basis to test the integrity and robustness of systems in place. The test will pick one element of the service to fail and will monitor what staff do in response. The outcomes will be recorded.

4.2 COMMUNICATIONS

4.2.1 Communications should be made aware of an emergency or high profile event as early as possible. The Senior Communications Officer will attend where necessary to deal with Press on site, and will advise on press statements, internal messages and any relevant communications needed with other stakeholders. Only authorised spokespeople should engage with the media or offer communications.

The authorised spokesperson for is:	
---	--

4.3 RECORDING THE INCIDENT

4.3.1 Any business continuity situation that occurs should be recorded on the form provided at Appendix A. The actions taken should also be recorded on the form at Appendix B.

Appendix B Incident Impact Information

INCIDENT IMPACT ASSESSMENT FORM			
Managers' name			
Location of incident			
Date of incident			
Time of incident			
Impacts on personnel (summary)			
Which Emergency Services attended?			
INCIDENT SUMMARY	TOTAL LOSS	PARTIAL LOSS	MINIMAL LOSS
Access to building			
Use of affected are			
Equipment			
Work in progress			
Vital records			
Electricity			
Water			
Computer data			
Voice messages			
Other services			
Essential services affected			
Conclusions			
Managers' signature		Date and Time	

Appendix C Incident Log Sheet

INCIDENT LOG SHEET				
Managers' name				
Incident description				
Sequence	Date and Time	Occurrence	Action	Taken by
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
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**BRENTWOOD BOROUGH COUNCIL
 BUSINESS CONTINUITY SERVICE RECOVERY
 PLAN FOR BOROUGH HEALTH, SAFETY
 AND LOCALISM**



Responsibility for this Plan

Designation	Name
Business Continuity Plan Holder	
Managers with responsibilities under this Plan	

Version Control/Reviews

Version no.	Date	Summary of changes form previous version
1.1	03//2011	Initial version issued
1.2	10/2012	Reviewed
1.3	06/2013	Added Communication update
1.4	01/2015	Total revision of Plan

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PART 1

1.1 INTRODUCTION

1.1 This is the Service Recovery Plan for Borough Health, Safety and Localism centred at the Town Hall, Ingrave Road, Brentwood. The activities of this service include Environmental Health, Licensing, CCTV and Community Services. The Service protects public safety through a regulatory enforcement regime. Community Services includes, events, volunteering and safeguarding, community safety, Business Continuity, Emergency Planning and Corporate Health and Safety.

1.2 Within these disciplines employees undertake office work and field operations. This plan provides for continuity and sets out measures in place to sustain these services (*so far as is practicable*) should critical elements be degraded or lost. The service relies heavily on its staff and administrative back-up given that it is largely a statutory function charged with the responsibility of public safety.

1.2 AIM

1.2.1 The aim of this plan is to provide a set of effective and practical procedures that will: -

- i) Provide recovery in all work areas within Health, Safety and Localism
- ii) Minimise disruption within the service
- iii) Enable normal working to be resumed in the shortest possible time after a crisis

1.3 OBJECTIVES

1.3.1 The objectives of the plan are to:-

- a) Mobilise the organisational resources required to manage the situation and recovery
- b) Identify the immediate action to be taken
- c) Provide realistic time-scales within the recovery process and a return to 'normality' as quickly as possible

1.4 FUNCTIONAL ELEMENTS

1.4.1 The Borough Health, Safety and Localism Service function includes the following elements: -

- i. Food Safety Enforcement
- ii. Health and Safety Enforcement
- iii. Environmental Protection Enforcement
- iv. Private Sector Housing Enforcement
- v. Corporate Health and Safety
- vi. Business Continuity and Emergency Planning Services

- vii. Community Safety
- viii. Licensing
- ix. CCTV Services
- x. Health and Wellbeing
- xi. Community Services
- xii. Events
- xiii. Animal welfare and control

Elements i-viii are those which are statutory and will receive the highest priority. Elements ix-xiii are discretionary and will receive secondary priority where this is required.

1.4.2 This Service Business Continuity Plan also includes information on: -

- Head of Service contact details
- All staff contact details
- Minimum staffing requirements
- Staff with mobile phones
- Staff with external system access
- Systems software requirements
- Contact details of key suppliers/contractors/external partners
- Services that could be provided via home working
- Equipment necessary for function

1.5 RISKS TO THE SERVICE

1.5.1 This plan assumes an ultimate '*worst-case scenario*' in which critical information systems and resources are destroyed by fire, other natural events or by unauthorised persons committing acts of destruction, theft or sabotage that prevent key service delivery functions being undertaken.

1.5.2 The main risks to Health, Safety and Localism have been identified as:-

- Total loss of building(s) due to fire, flood, explosion, malicious damage, non-access due to weather/security issues
- Partial loss of a building due to fire, flood, explosion, malicious damage,
- Loss of utilities – electricity and water,
- Computer system hardware damage, part or system total failure, theft or cyber threat,
- Telephone system failure (internal and/or external),
- Loss of a number of key personnel due to injury/killed as the result of a pandemic illness/sickness,
- Loss of equipment which is required to support functions
- Loss of vehicles (provided by the Council or its own employees)
- Loss of external access to computer systems

An incident could result in one or any combination of these situations.

1.5.3 For the purposes of this Plan it is assumed that Brentwood Council's policies applying to records management and computer security are being applied in all offices.

Similarly, this Plan also assumes that fire prevention, physical security and health and safety at work standards are also being applied.

1.5.4 The plan also assumes that inventories of hard/software, other business systems and major items of equipment are sufficiently maintained. It is the appropriate Head of Service's responsibility that such records are kept as part of their day to day managerial accountabilities.

1.6 LINKS TO THE STRATEGIC RISKS REGISTER

1.6.1 This Business Continuity Plan links in with the Strategic Risk Register – Risk Number 3 relating to 'Disaster Recovery/Business Continuity. This is to be found upon the Councils' microsite.

1.7 BUSINESS RECOVERY PROCESS

1.7.1 In order to instigate an appropriate response to the business recovery process, this plan also assumes that:-

1. If an incident occurs which requires the evacuation of that part of the building occupied by Borough Health, Safety and Localism then this will have been carried out using the normal practised evacuation procedures for those premises.
2. The emergency services will be on site and any known person(s) missing or otherwise unaccounted for, will be notified to the appropriate organisation.
3. If the missing person(s) is a member of staff then any personal details such as home address, telephone numbers and the next of kin information, will be made available as soon as possible to the relevant emergency organisation.
4. Sufficient financial resources will be made available to ensure that the Service would continue to be run as efficiently and effectively as possible during the disruption.

1.8 KEY FUNCTIONS AND PRIORITIES

1.8.1 The Service has within this Plan identified its key functions and prioritised these in detail these are: -

PRIORITY 1 - essential core business and supporting functions needing to be restored in the shortest time possible but within 48 hours			
Reference	Element involved	Activity	Recovery time
P1.1	Corporate Health and Safety	Response to the notification of any significant accident/incident relating to the undertaking of the authority and its duty to its employees and the public.	Immediate
P1.2	Health and Safety Enforcement	Response to the notification of any work related death	Immediate
P1.3	Health and Safety Enforcement	Response to the notification of any significant accident/incident which has	0.5 days

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		been notified to the authority involving any employee or member of the public.	
P1.4	Health and Safety Enforcement	Response to any case/risk of Legionella/ water-borne disease and the need to prevent further spread	Immediate
P1.5	Health and Safety Enforcement	Responding to requests for information from the Health and Safety Executive	0.5 days
P1.6	Food Safety Enforcement	Response to the notification of any food poisoning case, infectious disease or food alert from the FSA.	Immediate
P1.7	Food Safety Enforcement	Response to any 'health risk condition' where a food premises requires formal or informal closure.	Immediate
P1.8	Food Safety Enforcement	The seizure of any food not compliant with food safety requirements.	0.5 days
P1.9	Pollution Enforcement	Response to the notification of any filthy & verminous premises	1 day
P1.10	Food Safety Enforcement	Responding to requests for information from the Food Standards Agency	0.5 days
P1.11	Pollution Enforcement	Response to any hazardous/dangerous situation within privately rented dwellings or HMO's where there is the risk of serious harm	Immediate
P1.12	Pollution Enforcement	Responding to unauthorised caravan incursions within the Borough	0.5 days
P1.13	Pollution Enforcement	Responding to fly-tipping and accumulations/deposits	1 day
P1.14	Pollution Enforcement	Responding to noise nuisance	0.5 days
P1.15	Pollution Enforcement	Responding to requests for grants of an urgent nature relating to e.g. leaking roofs, critical disabled facilities grants etc.	1 day
P1.16	Pollution Enforcement	Responding to stray dogs out of control in a public place	0.5 days
P1.17	Licensing	Suspension of dangerous hackney carriage/private hire operators and vehicles and ineligible drivers	0.5 days
P1.18	Licensing	Approving new or renewing licensing vehicle applications where applicants hold a valid drivers' licence	1 day
P1.19	Licensing	Responding to unlicensed and illegal events concerning public entertainment/sale of alcohol which would present a danger to attendees and the wider community	1 day
P1.20	Business Continuity	As per this BC Plan	Immediate
P1.21	Emergency Planning	Exercising all responsibilities as a Category 1 Responder	Immediate
P1.22	Community Services	Providing response to imminent high-profile events.	0.5 days

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PRIORITY 2 – business and supporting functions needing to be restored within a week			
Reference	Element involved	Activity	Recovery time
P2.1	Health and Safety Enforcement	Proactive Health and Safety inspections	1 week
P2.2	Health and Safety Enforcement	Investigation of complaints	1 week
P2.3	Food Safety Enforcement	Provision of information to the Food Hygiene Rating System	1 week
P2.4	Food Safety Enforcement	Provision of information to the UKFSS Food Sampling System	1 week
P2.5	Food Safety Enforcement	Proactive Food Safety inspections	1 week
P2.6	Food Safety Enforcement	Investigation of complaints	1 week
P2.7	Food Safety Enforcement	Proactive Food Sampling	1 week
P2.8	Pollution Enforcement	Investigation of complaints relating to incidents of pollution/ EPA issues/private sector housing	1 week
P2.9	Pollution Enforcement	Routine housing grant processing	1 week
P2.10	Licensing	Routine licensing applications and renewals	1 week
P2.11	Community Safety Team	Supporting public safety	1 week
P2.12	CCTV	Providing a CCTV Service for the Borough	1 week
P2.13	Licensing	Provision of the on-line applications system	1 week

PRIORITY 3 – non essential core business and supporting functions needing to be restored within the longer-term			
Reference	Element involved	Activity	Recovery time
P3.1	Health and Wellbeing	Development of the Councils' health and wellbeing work	3 weeks
P3.2	Events Team	Developing and delivering Council-run events for the Brentwood community	3 weeks
P3.3	Food Safety Enforcement	Provision of the Foundation Level II Food Hygiene Course	8 weeks

These priorities must be adhered to so as to ensure maximum use of resources.

1.9 EMERGENCY ACCOMMODATION

1.9 1 Staff are used to working within a fixed office environment. All employees within Health, Safety and Localism work in this way unless working from home or on district duties. The loss of an office even in the short term can disrupt services and their continuity. This should be managed as follows:-

Short term: Should staff be displaced then as directed by CLB or their Head of Service they will be advised where to gather and where information vital to them will be displayed. Alternative work location(s) will also be identified. Where other offices within

the Town Hall are available then these may be used to temporarily house staff. If that is not feasible then some staff may be accommodated at the Depot. However, given that many are already able to work from home then this may be the most favourable option if working space is at a premium.

Medium term: Should a defined workplace within the Town Hall not be available for medium term use then the Council will make further provision as necessary. The Brentwood Centre is contracted to make working space available in such circumstances but this may be limited depending upon the number of people displaced at any one time. Provisions to work remotely from this location are currently being finalised by I.T and will be announced.

Long term: Should staff be displaced in the longer term then the Council may consider a renting solution. This might occur should the workplace have been totally lost requiring a rebuild or permanent move to a new location. Chromex as property managers at the Town Hall may provide rented space. Alternatively, office space may need to be rented elsewhere from another provider. Decisions on this scale will be made by the relevant Head of Service concerned in association with the Chief Executive given the high cost implications to the council.

PART 2

2.1 STAFFING PROVISIONS

2.1.1 Staff are critical to the business operation. Should any automated systems fail then it is possible to carry out many tasks manually though within the confines of the priorities already outlined. The service will do all it can within the availability of its assets, equipment and finances to enable employees to keep working within a conducive environment and thereby continue their employers' business. Where business continuity is put in to operation then it is intended that this is achieved in a seamless fashion wherever possible. Given that the loss of colleagues and normal workplaces may be stressful, managers must support their staff through these episodes and take time out to listen and respond to any fears or concerns.

2.1.2 All staff are considered critical to the operation, however, in cases where staff are lost then those remaining may be requested to fulfil other duties as necessary depending on what their qualifications and experience allow. As a consequence, managers will need to apply the correct processes of risk assessment so as to avoid any foreseeable hazard or risk to those remaining. Where there is any case of infectious disease then employees may be asked not to work in the vicinity of others until they are sufficiently recovered.

2.1.3 Staff within this Service, their positions, remits and contact details are located in a Confidential List at Appendix A. This is available to managers only. The list also contains information concerning contractors as in some cases these are responsible for over 85% of outputs (such as with food safety inspections).

2.2 MINIMUM STAFFING LEVELS

2.2.1 In the longer term, services cannot be run effectively without full staffing. However, in a contingency situation where employees are lost there needs to be enough persons available to hold the services together until they fully recover. Although this may be acceptable in the short term it will not be in the long term. In all cases pecuniary resource must be directed to statutory functions first and non-statutory second, however, non-statutory services cannot be sacrificed for the sake of statutory services otherwise they may ultimately be lost. It is also important to note that not all jobs are interchangeable, in which case it may be necessary to source qualified staff from elsewhere such as agencies.

2.2.2 In cases of contingency, Heads of Service and Managers will need to be aware of available staff numbers/locations, decide on the work to be prioritised and what needs to be redistributed or assigned to preferred external providers as necessary. These may be private organisations or perhaps other neighbouring authorities.

2.2.3 In cases where buildings are rendered out of use in whole/part then staff may be directed to work from home where able. In such circumstances managers must ensure that appropriate Display Screen Equipment assessments have been conducted on their work stations as soon as practicable such are the requirements of the DSE Regulations 1992. Where lap tops are available then these may also be used provided that they too have been assessed in this way.

2.2.4 In prioritising work during situations of contingency Heads of Service and Managers must be aware of the need to complete work which was put on hold during the contingency situation. Additional staff/resources may be required to assist with any such back-logs.

2.3 ESSENTIAL LINES OF CONTACT

2.3.1 In some cases there are lines of communication which are preferred over others within a business continuity situation. This may be a main telephone line or email address and certain points of information. For Health, Safety and Localism these are as follows: -

Contact	Number
Main telephone line into Call Centre	01277 312500
Fax line	01277 312526
Central Admin email address	envhealth@brentwood.gov.uk
ehcnet	Via I.T.

2.4 SOFTWARE REQUIREMENTS

2.4.1 Beside the suite of Microsoft programs provided there is also dependency upon other programmes for data storage and retrieval. For Health, Safety and Localism these are as follows:-

System	Providing
Uniform	Storage of business details, inspections and complaints
FSSNET	Storage of food sampling information and results
Staff Intranet	For access to all internal
Extranet	For access to the World Wide Web
efinancials	For accessing financial data
Collaborative Planning Live	For accessing financial data
Capita Paye.net	Payment system
Report it	Enquiry system
On-Line Accident Form	Portal to record accidents and the action taken

2.5 DEPENDENCY ON SYSTEMS AND EQUIPMENT

2.5.1 Systems and equipment are needed to carry out almost all functions. In situations where contingency is invoked, the minimum system and equipment requirements per officer are as follows:-

Name	Position	Desks and chair sets required	Desk telephone required	Desk PC required	Remote access to I.T suite of programmes (via dongle)	Access to photocopier and printer	Specific equipment required	Car required for duties (Essential User)
	Head of Borough Health, Safety and Localism	Yes	Yes	Yes	Yes	Yes	Temperature Probe/Wipes White hat Lab coat Wellingtons High visibility jacket Safety shoes Camera Pocket book Torch	No

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	Environmental Health Manager Strategic Health and Safety Manager	Yes	Yes	Yes	Yes	Yes	Temperature Probe/Wipes White hat Lab coat Wellingtons High visibility jacket Safety shoes Camera Sample bags Pocket book Torch	Yes
	Environmental Health Manager CCTV Manager	Yes	Yes	Yes	Yes	Yes	High visibility jacket Safety shoes Camera Pocket book Torch Noise meter	Yes
	Principal Licensing Officer	Yes	Yes	Yes	Yes	Yes	High visibility jacket Pocket book Torch	Yes
	Principal Environmental Health Officer	Yes	Yes	Yes	Yes	Yes	Temperature Probe/Wipes White hat Lab coat Wellingtons High visibility jacket Safety shoes Camera Sample bags Pocket book Torch	Yes
	Environmental Health Officer	Yes	Yes	Yes	Yes	Yes	Temperature Probe/Wipes White hat Lab coat Wellingtons High visibility jacket Safety shoes Camera Sample bags Pocket book Torch	Yes
	Environmental Health Officer	Yes	Yes	Yes	Yes	Yes	High visibility jacket Safety shoes Camera Pocket book Torch Noise meter	Yes
	Technical Officer	Yes	Yes	Yes	Yes	Yes	High visibility jacket Safety shoes Camera Pocket book Torch Noise meter	Yes
	Environmental Health Officer	Yes	Yes	Yes	Yes	Yes	High visibility jacket Safety shoes Camera Pocket book Torch Noise meter	Yes
	Environmental Health Technician	Yes	Yes	Yes	Yes	Yes	Test bait High visibility jacket Safety shoes Camera Pocket book Torch Overalls Wellingtons Cages Dog leads	Council vehicle
	Corporate Health & Safety Advisor	Yes	Yes	Yes	Yes	Yes	High visibility jacket Safety shoes Camera Pocket book Torch Noise meter	No
	Environmental Health Officer	Yes	Yes	Yes	Yes	No	High visibility jacket Safety shoes Camera Pocket book Torch Noise meter	Yes
	Senior Administrator	Yes	Yes	Yes	Yes	Yes	General Office Equipment	No
	Environmental Health Admin Assistant	Yes	Yes	Yes	Yes	No	General Office Equipment	No
	Licensing Admin Assistant	Yes	Yes	Yes	Yes	No	Pocket book	Yes

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	Licensing Officer	Yes	Yes	Yes	Yes	No	High visibility jacket Pocket book Torch	Yes
	Licensing Officer	Yes	Yes	Yes	Yes	Yes	High visibility jacket Pocket book Torch	Yes
	Licensing Technical Officer	Yes	Yes	Yes	Yes	Yes	General Office Equipment	No
	Contracted Environmental Health Officer	No	No	No	No	No	Temperature Probe/Wipes White hat Lab coat Safety shoes Camera Sample bags Pocket book	No
	Contracted Environmental Health Officer for food sampling	Yes	Yes	Yes	Access to UKFSS	No	Temperature Probe/Wipes White hat Lab coat Safety shoes Camera Sample bags Pocket book	No
	Contracted Environmental Health Officer	No	No	No	No	No	Temperature Probe/Wipes White hat Lab coat Safety shoes Camera Sample bags Pocket book	No
	Contracted Environmental Health Officer	No	No	No	No	No	Temperature Probe/Wipes White hat Lab coat Safety shoes Camera Sample bags Pocket book	No
	Partnership, Leisure and Funding Manager	Yes	Yes	Yes	Yes	Yes	High visibility jacket	No
	Anti-Social Behaviour Co-ordinator	Yes	Yes	Yes	Yes	Yes	High visibility jacket	No
	Leisure & Community Development Officer	Yes	Yes	Yes	Yes	Yes	High visibility jacket	No
	Community Services Assistant	Yes	Yes	Yes	Yes	No	High visibility jacket	No
	Leisure & Community Development Officer	Yes	Yes	Yes	Yes	Yes	High visibility jacket	No
	Community Safety Assistant	Yes	Yes	Yes	Yes	Yes	High visibility jacket	No
	Business Continuity/Emergency Planning Coordinator	Yes	Yes	Yes	Yes	Yes	None	No

2.5.2 In extreme situations it may not be necessary to provide permanent desks, chairs and desk-top computers for all officers as their functions will also include district work and a certain amount of 'hot-desking' may be undertaken. Under such circumstances these

facilities may be temporarily reduced by around 30%. Also, the majority of staff have been provided with external access to the suite of Council programmes and drives in common use. They may therefore work from home where they have such access, but only where servers remain functioning.

2.6 CCTV EQUIPMENT

2.6.1 The CCTV service at the Town Hall is entirely dependant upon the Pelco equipment provided – there is no contingency. If it out of commission there is no replacement and it cannot be operated. Should the system require service then the following numbers are available: -

Provider	Use of helpline	Telephone number	Recovery time objective
	CCTV Minor faults		72 hours
	CCTV Major faults outside office hours		Next day

2.7 GENERAL DATA STORAGE

2.7.1 Data is commonly held on several mainframes located across the Council. Should one of these fail then there are back-up servers which should hold mirrored information. It is for managers to determine where best to store data and on what drives. In a business continuity situation it may not always be possible to access data where servers are lost, in which case all services are expected to be have Battle Boxes holding vital information and formwork in paper format and upon USB sticks. iGels are not currently configured to read from USB sticks meaning that for the moment information upon them would need to be downloaded by ICT to be accessible. This is being resolved.

PART 3

3.1 BATTLE BOXES AND ESSENTIAL FORMWORK

3.1.1 The following formwork in hard copy blank format must be retained and held within the 'primary' Battle Box for Borough Health, Safety and Localism. Only current up to date formwork may be relied upon so it is important to ensure that whenever documentation changes that old is immediately replaced with new.

Food – The Food Safety and Hygiene (England) Regulations 2013	
Notice	Regulation
Hygiene Improvement	6
Hygiene Emergency prohibition Notice	8
Notice of Intention to apply for a Hygiene Emergency Prohibition Order	8
Remedial Action Notice	9
Detention Notice	10
Notice of withdrawal of Remedial Action Notice	9
Notice of withdrawal of Detention Notice	10
Certificate that health risk condition no longer exists	7 and 8
Notice of determination that health risk condition remains in existence	7 and 8
Certificate that food has not been produced, processed or distributed in compliance with the Hygiene Regulations	29
The Food Safety Act 1990	
Notice	Regulation
Improvement Notice	10
Detention Notice	9
Health and Safety at Work etc Act 1974	
Notice	Regulation
Improvement Notice	21
Prohibition Notice	22
Seizure of articles to render harmless	25
Social Security (Claims and Payments) Regulations 1979	
Hard copy accident reporting form	
Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)	
Form to notify HSE of any reportable accidents under the Regulations	
Environmental Protection Act 1990	
Notice	Section
Abatement Notice	80
Abatement Notice in respect of Noise Nuisance	79(1)(g)
Clean Air Act 1993	
Notice	Section
Prevention of Dark Smoke from Industrial or Trade Premises	1
Housing Act 1985	
Notice	Section
Repair Notices	189
Housing Act 2004	
Notice	Chapter
Hazard Awareness Notice, Prohibition Orders, Improvement Notice	2
Emergency Remedial Action, Emergency Prohibition Orders	3
Prevention of Damage by Pests Act 1949	

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Notice	Section
Notice Requiring Action Against Rats or Mice	4
Local Government (Miscellaneous Provisions Act) 1976	
Notice	Section
Requisition for Information	16
Criminal Justice and Public Order Act 1994	
Notice	Section
Direction to leave land	77
Procedures	
Food Safety Procedures	
Health and Safety Procedures	
Pollution Procedures	
Admin Forms	
Food Premises Registration Form	
General Complaint Form	
Local Government (Miscellaneous Provisions Act) 1982	
Notice	Regulation
Sexual Entertainment Venue Application/Renewal	Own Forms
Street and House to House Collections	
Notice	Regulation
Application for a Street Collection	Own Forms
Application for a House to House Collection	Own Forms
Street Trading	
Notice	Regulation
Application for a Street Trading Licence	Own Forms
Application for a Pavement Cafe Licence	Own Forms
Scrap Metal Dealers Act 2013	
Notice	Regulation
Application/Renewal of a Scrap Metal Site Licence	Own Forms
Application/Renewal of a Scrap Metal Collectors Licence	Own Forms
Application to Vary a Scrap Metal Site or Collectors Licence	Own Forms
Licensing Act 2003	
All Licensing Act 2003 forms are available from www.gov.uk	
Application for a New Premises Licence	
Application to vary a Premises Licence	
Application to Review a Premises Licence	
Application for a Provisional Statement	
Application to Transfer a Premises Licence	
Application to Vary the designated Premises Supervisor	
Application for a Personal Licence	
Notification of Interest	
Gambling Act 2005	
All Gambling Act 2005 forms are available from www.gov.uk	
Application for a New Premises Licence	
Application to vary a Premises Licence	
Application to Review a Premises Licence	
Application for a Provisional Statement	
Application to Transfer a Premises Licence	
Application to Vary the designated Premises Supervisor	
Notification of 2 gaming machines or less	
Application for 3 gaming machines or more	
Authorisation Documents	

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Name	Authorisation under
Ashley Culverwell	Food Safety Statute, Health and Safety Statute, European Communities Act, Imported Food Legislation, Prevention of Damage by Pests Act, Health Act
Mark Stanbury	Food Safety Statute, Health and Safety Statute, European Communities Act, Imported Food Legislation, Prevention of Damage by Pests Act, Health Act
Elaine Hanlon	Food Safety Statute, Health and Safety Statute, European Communities Act, Imported Food Legislation, Prevention of Damage by Pests Act, Health Act
Anita Tandon	Food Safety Statute, Health and Safety Statute, European Communities Act, Imported Food Legislation, Prevention of Damage by Pests Act, Health Act
David Carter	Environmental Protection Act, Clean Air Act
Heather Ziervogel	Environmental Protection Act, Clean Air Act
Rakish Sharma Rose	Environmental Protection Act, Clean Air Act
Stephen Blake	Environmental Protection Act, Clean Air Act
Mark Conner	Environmental Protection Act, Clean Air Act
Gary O'Shea	Licensing Legislation
Keith Alexander	Licensing Legislation
Dave Leonard	Licensing Legislation
David Barham	Food Safety Statute, Health and Safety Statute, European Communities Act, Imported Food Legislation, Prevention of Damage by Pests Act, Health Act
Neil Jarvis	Food Safety Statute, Health and Safety Statute, European Communities Act, Imported Food Legislation, Prevention of Damage by Pests Act, Health Act
David Stewart	Food Safety Statute, Health and Safety Statute, European Communities Act, Imported Food Legislation, Prevention of Damage by Pests Act, Health Act
Ken Agnew	Food Safety Statute, Health and Safety Statute, European Communities Act, Imported Food Legislation, Prevention of Damage by Pests Act, Health Act

3.1.2 A Custodian must be arranged for each Battle Box. This person is responsible for storing the Battle Box safely and ensuring that its contents remain up to date. The Custodian is also responsible for ensuring that where it is necessary to remove the Battle Box to a safe location during a business continuity situation – that they undertake this. For example, when staff have to leave an office during a fire alarm situation. For this reason it would be advisable that designated Health and Safety Coordinators are given the responsibility as Custodian wherever possible.

3.1.3 There is a back-up Battle Box provided for Health, Safety and Localism which is located at the Depot. Should the Battle Box retained at the Town Hall be lost or damaged due to a contingency situation then the duplicate will need to be relied upon. There is a Battle Box Custodian at the Depot for all Battle Boxes. Whenever any paperwork is replaced or updated then this will need to be carried out for both Battle Boxes.

The Custodian for Borough Health, Safety and Localism is:	
The reserve Custodian for Borough Health, Safety and Localism is:	
The Battle Box for Borough Health, Safety and Localism is located precisely at:	Environmental Health Office, on top of filing cabinet
The Custodian for back-up Battle Boxes at the Depot is:	

3.2 OTHER BATTLEBOX CONTENTS

3.2.1 Aside from essential formwork within battleboxes there are a number of other items which should be included such as: -

- The Brentwood Borough Council Over-Archiving Business Continuity Plan
- The relevant Business Continuity Plan for this Service
- Stationery; e.g. message pads, flip chart, coloured pens, pencils, chalk
- Service specific items; i.e. logo stamps, templates and forms
- Dongles holding copies of all the formwork and procedures relevant to the Service
- Any other vital records such as authorisation documents
- A plan of the office showing the emergency exits
- A torch with batteries
- Mobile phone chargers
- Food/water sample containers

3.3 FINANCIAL ARRANGEMENTS

3.3.1 In cases where business continuity is invoked it may be necessary to purchase goods or services in order to carry on services.

3.3.2 There are no specific contingency funds for business continuity, however managers are authorised to spend within designated limits as follows: -

Name	Amount
	Unlimited spend
	Up to £10,000
	Up to £10,000
	Up to £10,000
	Up to £10,000
	Up to £10,000

3.3.3 It is important that a record of all such purchases is kept along with a reason as to why the purchase was necessary for accounting reasons. Some officers have been issued with a Council Debit Card and this should be used in preference to any cash or personal transactions.

The officer who carries the Council Debit Card for Health, Safety and Localism is:	
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3.4 THIRD PARTY ARRANGEMENTS AND SUPPLIERS

3.4.1 In some cases there are third party arrangements struck with external organisations/companies to provide goods and services. Some of these arrangements will be formal, and others not. In order to restrict such arrangements, preferred suppliers are used for Health, Safety and Localism and these are detailed below. However, it may not be possible in business continuity situations to rely solely upon these particularly where staff are lost which may necessitate procuring temporary staff from other

suppliers. In such cases the Head of Service will ultimately decide what other goods or services may be sought and from where.

Preferred Staff Suppliers

Service	Provider
Food Hygiene Inspections	
Food Hygiene Inspections	
Food Sampling	
Food Hygiene Inspections	
District Officer for Pollution/ EPA work	

Preferred Service Suppliers

Service	Supplier
Digital thermometers and calibration/servicing	
Noise monitoring meters and calibration/servicing	
General office equipment	
Personal Protective Equipment	
Chairs and Equipment	
Veterinary Services – animal licensing inspections	
Veterinary Services – retrieved animals	
Kennelling for stray dogs	
Pest Control - animal bait	
Air Quality Monitoring - tubes	
Air Quality Monitoring - analysis	
Adare – Food Hygiene Rating stickers	
Newsquest – advertising fare increases	
Taxi Licence Plates	
Sample pots and Cold Boxes for samples	

PART 4

4.1 TESTING OF THE SYSTEM

4.1.1 From time to time, business continuity may be tested within Health, Safety and Localism as in other services too. This will occur on an annual basis to test the integrity and robustness of systems in place. The test will pick one element of the service to fail and will monitor what staff do in response. The outcomes will be recorded.

4.2 COMMUNICATIONS

4.2.1 Communications should be made aware of an emergency or high profile event as early as possible. The Senior Communications Officer will attend where necessary to deal with Press on site, and will advise on press statements, internal messages and any relevant communications needed with other stakeholders. Only authorised spokespeople should engage with the media or offer communications.

The authorised spokesperson for Borough Health, Safety and Localism is:	
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4.3 RECORDING THE INCIDENT

4.3.1 Any business continuity situation that occurs should be recorded on the form provided at Appendix B. The actions taken should also be recorded on the form at Appendix C.

Appendix A List of Personal Contact Information

Name	Position	Remit	FTE	Contact telephone	Home Address	Email address
	Head of Borough Health, Safety and Localism	All areas	1.0			
	Environmental Health Manager Strategic Health and Safety Manager	Food Safety Enforcement Health and Safety Enforcement Corporate Health and Safety Business Continuity Emergency Planning Health and Wellbeing	1.0			
	Environmental Health Manager CCTV Manager	Pollution Enforcement Private Sector Housing Enforcement EPA Enforcement Noise Enforcement Housing grants CCTV	1.0			
	Principal Licensing Officer	Administration and Enforcement of: - Hackney Carriage and Private Hire Alcohol, Entertainment, and Late Night Refreshment Licensing Street Trading Commercial Gambling Street/House to House Collections Animal Licensing Scrap Metal Dealers	1.0			
	Principal Environmental Health Officer	Food Safety Enforcement Health and Safety Enforcement	1.0			
	Environmental Health Officer	Pollution Enforcement Private Sector Housing Enforcement EPA Enforcement Noise Enforcement	0.6			
	Environmental Health Officer	Pollution Enforcement Private Sector Housing Enforcement EPA Enforcement Noise Enforcement Energy grants	0.6			
	Technical Officer	Pollution Enforcement Private Sector Housing Enforcement EPA Enforcement Noise Enforcement	0.6			
	Environmental Health Officer	Pollution Enforcement Private Sector Housing Enforcement EPA Enforcement Noise Enforcement	1.0			
	Environmental Health Technician	Pest investigations Drainage investigations Dog Warden	1.0			
	Corporate Health & Safety Advisor	Corporate Health and Safety	1.0			
	Environmental Health Officer	Pollution Enforcement Private Sector Housing Enforcement EPA Enforcement Noise Enforcement	1.0			
	Senior Administrator	Service Administration	1.0			

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	Environmental Health Admin Assistant	Service Administration	1.0			
	Licensing Admin Assistant	Administration of: - Hackney Carriage and Private Hire Alcohol, Entertainment, and Late Night Refreshment Licensing Street Trading Commercial Gambling Street/House to House Collections Animal Licensing Scrap Metal Dealers	1.0			
	Licensing Officer	Administration and Enforcement of: - Hackney Carriage and Private Hire Alcohol, Entertainment, and Late Night Refreshment Licensing Street Trading Commercial Gambling Street/House to House Collections Animal Licensing Scrap Metal Dealers Assisting Dog Warden	1.0			
	Licensing Officer	Administration and Enforcement of: - Hackney Carriage and Private Hire Alcohol, Entertainment, and Late Night Refreshment Licensing Street Trading Commercial Gambling Street/House to House Collections Animal Licensing Scrap Metal Dealers Assisting Dog Warden	1.0			
	Licensing Technical Officer	Administration of: - Hackney Carriage and Private Hire Alcohol, Entertainment, and Late Night Refreshment Licensing Street Trading Commercial Gambling Street/House to House Collections Animal Licensing Scrap Metal Dealers	1.0			
	Contracted Environmental Health Officer	Food Safety Enforcement Health and Safety Enforcement	0.1			
	Contracted Environmental Health Officer for food sampling	Statutory Food Sampling	0.1			
	Contracted Environmental Health Officer	Food Safety Enforcement Health and Safety Enforcement	0.1			
	Contracted Environmental Health Officer	Food Safety Enforcement Health and Safety Enforcement	0.1			
	Partnership, Leisure and Funding Manager	Events	1.0			

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	<i>Leisure & Community Development Officer</i>	Events	1.0			
	<i>Anti-Social Behaviour Co-ordinator</i>	Community Safety	1.0			
	<i>Leisure & Community Development Officer</i>	Events	1.0			
	<i>Community Safety Assistant</i>	Community Safety	1.0			
	<i>Community Services Assistant</i>	Events	1.0			
	<i>Business Continuity/Emergency Planning Coordinator</i>	Finance	1.0			

Appendix B Incident Impact Information

INCIDENT IMPACT ASSESSMENT FORM			
Managers' name			
Location of incident			
Date of incident			
Time of incident			
Impacts on personnel (summary)			
Which Emergency Services attended?			
INCIDENT SUMMARY	TOTAL LOSS	PARTIAL LOSS	MINIMAL LOSS
Access to building			
Use of affected are			
Equipment			
Work in progress			
Vital records			
Electricity			
Water			
Computer data			
Voice messages			
Other services			
Essential services affected			
Conclusions			
Managers' signature		Date and Time	

Appendix C Incident Log Sheet

INCIDENT LOG SHEET				
Managers' name				
Incident description				
Sequence	Date and Time	Occurrence	Action	Taken by
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
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28				
29				
30				
31				
32				
33				
34				
35				
Managers' signature			Date and Time	

27 January 2015

Audit 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 to date. It is intended through the introduction of a Customer Relationship Management (CRM) system the council will be able to understand, monitor and manage better customer's complaints and requests.

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 The Council has a two stage complaints process which has provided a very successful route 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 process itself has two stages. In the first instance, the complaint is forwarded to the Head of Service for the department concerned for a full investigation into the complaint. If the complainant is not satisfied with the response from the Head of Services they can request the Complaints Co-ordinator to conduct a second stage investigation into the matter. At both stages, the Council aims to respond fully following the investigation within 20 working days.

4. Issue, Options and Analysis of Options

4.1 During 2013/2014 financial year there were 33 complaints for first stage investigation, 10 complaints have been received so far this year.

4.2 The table below shows the breakdown for the financial year 2012/13 to 2013/14. Since the last report to the Audit & Scrutiny Committee on the 30.09.14 there has been one further Stage One complaint received.

Stage One

Department	2012/13	2013/14	2014/15 (Apr-Dec)
Housing	10	10	7
Planning	8	10	3
Revenues and Benefits	6	9	1
Countryside, Parks and Cemeteries	3	-	-
Governance	2	-	-
Legal and Debt Recovery	2	3	-
Environmental Health	1	-	-
Community Safety	1	-	-
Street Scene	1	1	-
Total	34	33	11

4.3 Details of the 11 complaints included

- Works to trees
- Housing repair issues
- General housing issues
- Non payment of business rates

4.4 Nine complaints have progressed to the second stage for the financial year 2013/2014. The table below shows a comparison for the previous year. Since the last report to the Audit & Scrutiny Committee on the 30.09.14 one Planning complaint have moved to Stage Two in addition to the two Housing complaints previously reported.

Stage Two

Department	2012/13	2013/14	2014/15 (Apr-Dec)
Housing	1	2	2
Planning	3	3	1
Revenues and Benefits	2	3	-
Governance	2	-	-
Legal	-	1	-
Total	8	9	3

- 4.5 There continue to be no particular trends or themes to the complaints made so far this year which would result in concern about a process failure or service delivery breakdown in any service areas.
- 4.6 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 2 response, it would be appropriate for them to approach the Local Government Ombudsman should they choose to do so.
- 4.7 At the time of the last report, seven complaints had progressed to the Local Government Ombudsman. A comparison with last year is included in the table below.

Department	2012/13	2013/14	2014/15 (Apr/Dec)
Housing	1	2	-
Planning	2	3	-
Revenues and Benefits	-	2	-
Building Control	1	-	-
Total	4	7	0

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 since 1st April 2014 to date. This information is available for public viewing on the Council's website. As set out in the Executive Summary of this report future monitoring of requests through a CRM will enable the Council to review and offer appropriate access to resident's and businesses.

Department	2014/15 (Apr-Dec)
Revenues and Benefits	126
ICT	28
Corporate Services	67
Environmental Health	59
Housing	34
Streetscene	66
Finance Services	30
Built Environment	28
Community Services	15
Democratic Services	6
Total	459

6. Implications

Financial Implications

Name & Title: Jo-Anne Ireland, Acting Chief Executive
Tel & Email 01277 312712/jo-anne.Ireland@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.

Report Author Contact Details:

Name: Lorraine Jones
Telephone: 01277 312691
E-mail: lorraine.jones@brentwood.gov.uk

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27 January 2015

Audit & Scrutiny Committee

Fraud Statistics

Report of: *Rick Steels, Revenues & Benefits Manager*

Wards Affected: *None*

This report is: *Exempt*

1. Executive Summary

- 1.1 This report provides Members with details of the work of the Fraud Investigation team for the period November 2014 through to December 2014. The number of completed investigations and the subsequent sanctions applied to offenders bears no relation to the number of investigations opened during the same period.
- 1.2 81 referrals of potential fraud were reported between November 2014 and December 2014. All of the referrals were for suspected Housing Benefit (HB) and/or Local Council Tax Support (LCTS) fraud.
- 1.3 11 cases were successfully investigated during this period, all for benefit fraud. The Fraud Investigation team applied sanctions to all 11 cases.
- 1.4 The report also provides details of the Borough's performance in detecting benefit fraud and corporate fraud and how it compares with other Local Authorities within our comparator group.

2. Recommendation(s)

- 2.1 That Members note the fraud statistics contained within this report.
- 2.2 That approval is given for officers to undertake further analysis into the viability of expanding the role of the existing counter fraud team to include areas of potential corporate frauds not currently investigated.

3. Introduction and Background

- 3.1 The Council is committed to providing a proactive approach to the prevention and detection of Housing Benefit, Local Council Tax Support and Housing Tenancy fraud.
- 3.2 The Fraud Investigation team will also investigate potential cases of fraud that are referred to it from a variety of sources, to ensure public funds are protected.
- 3.3 Not all referrals however are investigated as the information provided may not be sufficient or robust enough for an investigation to be opened
- 3.4 The following table provides Members with details of the number of referrals of potential Housing Benefit and/or Local Council Tax Support fraud and potential Housing Tenancy Fraud received for the period 1st November 2014 to 31st December 2014 as well as the number of those referrals that were opened for investigation.

Description	Nov14/Dec14
Number of HB/LCTS referrals received	81
Number of Housing Fraud referrals received	0
Total number of referrals received	81
Number of cases closed during the period	45
Number of referrals opened for investigation	78
Number of opened investigations referred by the DWP data matching exercise	21
Number of opened investigations referred by an internal source e.g. staff/members	54
Number of opened investigations referred by an external source e.g. the public	3

- 3.5 The length of a fraud investigation can vary significantly depending upon the type of alleged fraud that is being committed. A case where a single claimant is suspected of having a partner resident in their household they have not told us about could take many months.
- 3.6 The process of evidence gathering, interviewing the claimant/tenant and preparing a case for Court has to follow strict legal guidelines and any

failure to follow these guidelines will almost certainly render the case useless.

- 3.7 Where an investigation concludes that a fraud has been committed the Fraud Investigation team will apply a sanction. The type of sanction will depend on the seriousness of the crime, the level of benefit overpaid and also whether the claimant has committed an offence for the first time.
- 3.8 The following table provides Members with details of cases that were opened some months ago but have successfully been completed with a sanction applied during the period 1st November 2014 to 31st December 2014.

Description	Nov14/Dec14
Number of HB/CTB sanctions applied during the period	11
Number of Housing Tenancy sanctions applied during the period	0
Total number of sanctions applied during the period	11

- 3.9 There are three types of sanction that the Fraud Investigation team can impose on the claimant.
- a) Local Authority Caution
 - b) Administrative Penalty
 - c) Prosecution
- 3.10 A Local Authority Caution is usually applied to first time offenders and where the offence is not deemed to be of sufficient seriousness to go straight for a prosecution.
- 3.11 An Administrative Penalty which is equal to 30% or 50% (depending on when the overpayment commenced) of the value of the overpaid benefit is usually applied to first time offenders who have failed to disclose savings or the commencement of employment in a well paid job. Only those offenders who could reasonably be expected to repay any overpaid benefit promptly would be offered this sanction.
- 3.12 In all other cases the Fraud Investigation team would seek to prosecute offenders in a Court of Law. Additionally if an offender refuses to accept the offer of a Local Authority caution or an administrative penalty the offender will be prosecuted
- 3.13 The following table provides Members with a list of the sanctions applied during the period 1st November 2014 to 31st December 2014 and the amount of benefit identified which the claimants had fraudulently claimed.

No.	Description	Amount
C06260160	A Local Authority Caution was offered and accepted under Section 112 (1A) of the Social Security Administration Act 1992 after the claimant's failure to declare his Working Tax Credits. The claimant was overpaid Housing Benefit for the period 01/10/12 – 31/08/14 to which he was not entitled. He accepted the caution.	£2,730.61
50003901	A Local Authority Caution was offered under Section 112 (1A) of the Social Security Administration Act 1992 after the claimant's failure to declare an increase in his income. The claimant was overpaid Housing Benefit for the period 20/08/12 – 12/10/14 to which he was not entitled. He accepted the caution.	£981.34
50026396	A Local Authority Administrative Penalty was offered under Section 112 (1A) of the Social Security Administration Act 1992 after the claimant's failure to declare an increase in her income. The claimant was overpaid Housing Benefit for the period 06/02/12 - 03/08/14 to which she was not entitled. She accepted the Administrative Penalty.	£2,229.53
50025454	A Local Authority Administrative Penalty was offered under Section 112 (1A) of the Social Security Administration Act 1992 after the claimant's failure to declare an increase in his income. The claimant was overpaid Housing Benefit for the period 01/04/13- 06/07/14 to which he was not entitled. He accepted the Administrative Penalty.	£2,778.30
50019956	A Local Authority Administrative Penalty was offered under Section 112 (1A) of the Social Security Administration Act 1992 after the claimant's failure to declare an increase in her income. The claimant was overpaid Housing Benefit for the period 06/02/12- 03/08/14 to which she was not entitled. She accepted the Administrative Penalty.	£1,868.83
50014708	A Local Authority Administrative Penalty was offered under Section 112 (1A) of the Social Security Administration Act 1992 after the claimant's failure to declare the income of his non dependant. The claimant was overpaid Housing Benefit for the period 21/04/14- 17/08/14 to which she was not entitled. He accepted the Administrative Penalty.	£930.70

50026479	A Local Authority Administrative Penalty was offered under Section 112 (1A) of the Social Security Administration Act 1992 after the claimant's failure to declare an increase in her income. The claimant was overpaid Housing Benefit for the period 05/03/12- 27/04/14 to which she was not entitled. She accepted the Administrative Penalty.	£3,722.83
50018026	A Local Authority Caution was offered and accepted under Section 112 (1A) of the Social Security Administration Act 1992 after the claimant's failure to declare an increase in her income. The claimant was overpaid Housing Benefit for the period 01/04/13 – 20/07/14 to which she was not entitled. She accepted the caution.	£1,893.84
50025270	A Local Authority Administrative Penalty was offered under Section 112 (1A) of the Social Security Administration Act 1992 after the claimant's failure to declare that her Job Seekers Allowance had ended. The claimant was overpaid Housing Benefit for the period 31/03/14- 25/05/14 to which she was not entitled. She accepted the Administrative Penalty.	£1,015.36
C04063163	A Local Authority Administrative Penalty was offered under Section 112 (1A) of the Social Security Administration Act 1992 after the claimant's failure to declare an increase in her income. The claimant was overpaid Housing Benefit for the period 21/04/14- 14/09/14 to which she was not entitled. She accepted the Administrative Penalty.	£1,588.65
50024000	This case was prosecuted in Court under Section 112 (1A) of the Social Security Administration Act 1992 after the claimant's failure to declare an increase in her income. The claimant was overpaid Housing Benefit for the period 06/05/13 – 09/02/14 to which she was not entitled. She pleaded 'Guilty' to the offence and was sentenced to a 12 month conditional discharge and ordered to pay £200 costs and a £15 Victim surcharge.	£7,335.55
	Total amount of benefit fraudulently claimed and identified during the period 1 st November 2014 to 31 st December 2014.	£27,075.54

4. Corporate Fraud

- 4.1 Each year the Audit Commission produces a report entitled 'Protecting the Public Purse' (appendix B) that includes details of each local authority's annual fraud detection activities and how this compares to the performance of similar authorities.
- 4.2 This information may be used by local authorities as an important part of reviewing current fraud strategies, resources and capabilities.
- 4.3 Members will note from this report that performance for this authority compares very favourably in the detection of benefit fraud, 579 cases detected compared to an average of 80 cases for our neighbours across the County. It should further be noted however that the question is open to interpretation and it may be that some authorities have chosen to only include detected cases where a sanction was also applied.
- 4.4 In addition to benefit fraud, the Fraud Investigation team also investigate referrals of potential Housing Tenancy fraud and the number of cases where a property has been recovered in line with the average for the comparator group.
- 4.5 There is however a number of other corporate frauds included within the report, for example Right to Buy fraud and Council Tax discount fraud, where the authority has not detected any cases which does not compare favourably with our neighbours. This is because we do not currently investigate any other corporate frauds.
- 4.6 If the Council wishes to be compared favourably with other local authorities regarding the investigation and detection of corporate fraud, further analysis into the viability of expanding the role of the existing counter fraud team, to include areas of potential corporate frauds not currently investigated, should be undertaken.

5. Reasons for Recommendation

- 5.1 To provide Members with an up date of the work of the Fraud Investigation Team.

6. Consultation

- 6.1 Not applicable

7. References to Corporate Plan

- 7.1 None

8. Implications

Financial Implications

Name & title: Chris Leslie, Financial Services Manager

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

8.1 The financial implications are set out in the report.

Legal Implications

Name & title: Christopher Potter, Monitoring Officer

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

8.2 None

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

9.1 Background papers are held by the Revenues & Benefits service

10. Appendices to this report

Appendix A – Fraud Statistics

Appendix B – Protecting the Public Purse Fraud Briefing 2014

Report Author Contact Details:

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Appendix A

Date	Case	Sanction	Overpayment	Ad pen	Total	Paid	Outstanding	% recovered Nov	% recovered Jan
1st May 13	1	Admin Pen	£1,132.04	£443.89	£1,575.93	£999.32	£606.61	60%	63%
1st Apr 13	2	Prosecution	£3,300.00		£3,300.00	£0.00	£3,300.00	0%	0%
1st Apr 13	3	Prosecution	£1,661.40		£1,661.40	£1,661.40	£0.00	100%	100%
25th Apr 13	4	Caution	£982.60		£982.60	£982.60	£0.00	100%	100%
1st May 13	5	Caution	£1,566.67		£1,566.67	£1,566.67	£0.00	39%	100%
14th May 13	6	Caution	£609.00		£609.00	£609.00	£0.00	100%	100%
14th Jun 13	7	Caution	£2,758.70		£2,758.70	£78.70	£2,680.00	0%	3%
3rd Jul 13	8	Caution	£2,720.45		£2,720.45	£2,720.45	£0.00	100%	100%
21st Jun 13	9	Caution	£6,166.96		£6,166.96	£1,086.36	£4,800.00	15%	18%
20th Jun 13	10	Caution	£3,190.50		£3,190.50	£2,218.50	£972.00	49%	70%
8th Jul 13	11	Caution	£632.32		£632.32	£392.32	£240.00	57%	62%
12th Jul 13	12	Caution	£1,608.48		£1,608.48	£1,131.82	£476.66	62%	70%
1st Aug 13	13	Admin Pen	£2,354.51	£903.44	£3,257.95	£2,592.43	£665.52	77%	80%
9th Sep 13	14	Caution	£1,269.20		£1,269.20	£767.87	£501.33	0%	61%
9th Sep 13	15	Caution	£2,458.10		£2,458.10	£2,285.75	£172.35	40%	93%
9th Sep 13	16	Caution	£3,606.28		£3,606.28	£3,606.28	£0.00	100%	100%
16th Sep 13	17	Caution	£9,797.84		£9,797.84	£50.00	£9,747.84	0%	1%
19th Sep 13	18	Caution	£3,538.07		£3,538.07	£569.71	£2,968.36	15%	16%
4th Oct 13	19	Caution	£6,092.46		£6,092.46	£6,092.46	£0.00	9%	100%
25th Oct 13	20	Caution	£1,996.45		£1,996.45	£1,996.45	£0.00	90%	100%
15th Nov 13	21	Caution	£10,327.71		£10,327.71	£1,995.91	£8,331.80	19%	19%
28th Nov 13	22	Caution	£2,273.89		£2,273.89	£0.00	£2,273.89	0%	0%
5th Dec 13	23	Caution	£786.46		£786.46	£786.46	£0.00	100%	100%
5th Dec 13	24	Caution	£1,969.24		£1,969.24	£1,969.24	£0.00	56%	100%
6th Dec 13	25	Caution	£634.15		£634.15	£634.15	£0.00	100%	100%
6th Jan 14	26	Caution	£3,801.10		£3,801.10	£756.80	£3,044.30	10%	20%
20th Jan 14	27	Prosecution	£2,336.71		£2,336.71	£529.46	£1,807.25	19%	23%
22nd Jan	28	Caution	£1,291.17		£1,291.17	£1,291.17	£0.00	100%	100%
23rd Jan 14	29	Caution	£1,338.68		£1,338.68	£554.19	£784.49	9%	41%
23rd Jan 14	30	Prosecution	£5,274.86		£5,274.86	£0.00	£5,274.86	0%	0%
7th Feb 14	31	Caution	£715.00		£715.00	£215.00	£500.00	9%	30%
19th Feb 14	32	Caution	£1,956.87		£1,956.87	£806.15	£1,150.72	41%	41%

11th Mar 14	33	Caution	£2,998.17		£2,998.17	£1,160.13	£1,838.04	32%	39%
17th Feb 14	34	Admin Pen	£2,077.90	£772.48	£2,850.38	£2,850.38	£0.00	73%	100%
17th Feb 14	35	Admin Pen	£5,757.52	£2,022.99	£7,780.51	£629.65	£7,150.86	7%	8%
28th May 14	36	Caution	£1,421.19		£1,421.19	£0.00	£1,421.19	0%	0%
23rd Apr 14	37	Prosecution	£2,066.98		£2,066.98	£73.00	£1,993.98	0%	4%
1st Apr 14	38	Admin Pen	£1,940.58		£1,940.58	£666.17	£1,274.41	26%	34%
14th Jun 14	39	Caution	£893.77		£893.77	£318.45	£575.32	19%	36%
23rd Jun 14	40	Caution	£4,383.03		£4,383.03	£231.70	£4,151.33	5%	5%
27th Jun 14	41	Caution	£3,697.49		£3,697.49	£3,678.24	£19.25	99%	99%
1st Jul 14	42	Prosecution	£6,585.75		£6,585.75	£0.00	£6,585.75	0%	0%
1st Jul 14	43	Prosecution	£6,801.34		£6,801.34	£0.00	£6,801.34	0%	0%
7th Jul 14	44	Caution	£9,221.97		£9,221.97	£0.00	£9,221.97	0%	0%
14th Aug 14	45	Caution	£865.45		£865.45	£216.50	£648.95	22%	25%
1st Sep 14	46	Caution	£3,690.06		£3,690.06	£1,206.48	£2,483.58	28%	33%
3rd Sep 14	47	Caution	£617.79		£617.79	£617.79	£0.00	100%	100%
11th Sep 14	48	Caution	£1,208.61		£1,208.61	£1,208.61	£0.00	22%	100%
16th Sep 14	49	Caution	£2,670.74		£2,670.74	£1,390.74	£1,280.00	40%	52%
14th Oct 14	50	Admin Pen	£5,408.77	£1,622.63	£7,031.40	£631.90	£6,399.50	6%	9%
17th Oct 14	51	Admin Pen	£1,777.41	£533.22	£2,310.63	£0.00	£2,310.63	0%	0%
27th Oct 14	52	Admin Pen	£1,541.19	£1,017.98	£2,559.17	£278.49	£2,280.68	5%	11%
3rd Nov 14	53	Caution	£2,730.61		£2,730.61	£1,184.36	£1,546.25		43%
3rd Nov 14	54	Caution	£981.34		£981.34	£619.34	£362.00		63%
4th Nov 14	55	Admin Pen	£2,229.53	£668.85	£2,898.38	£0.00	£2,898.38		0%
4th Nov 14	56	Admin Pen	£2,778.30	£1,389.15	£4,167.45	£377.11	£3,790.34		9%
4th Nov 14	57	Admin Pen	£1,868.83	£934.41	£2,803.24	£1,984.45	£818.79		71%
19th Nov 14	58	Admin Pen	£930.70	£465.35	£1,396.05	£203.74	£1,192.31		15%
11th Nov 14	59	Admin Pen	£3,722.83	£1,116.84	£4,839.67	£165.00	£4,674.67		3%
26th Nov 14	60	Caution	£1,893.84		£1,893.84	£258.96	£1,634.88		14%
26th Nov 14	61	Admin Pen	£1,015.36	£507.68	£1,523.04	£0.00	£1,523.04		0%
10th Dec 14	62	Admin Pen	£1,588.65	£900.36	£2,489.01	£0.00	£2,489.01		0%
22nd Dec 14	63	Prosecution	£7,318.33		£7,318.33	£0.00	£7,318.33		0%
			£182,831.90	£13,299.27	£196,131.17	£60,897.81	£135,233.36	25%	31%

Protecting the Public Purse

Fraud Briefing 2014

Brentwood Borough Council

Page 219



Appendix B

Purpose of Fraud Briefing



Provide an information source to support councillors in considering their council's fraud detection activities



Extend an opportunity for councillors to consider fraud detection performance, compared to similar local authorities



Give focus to discussing local and national fraud risks, reflect on local priorities and the proportionate responses needed



Be a catalyst for reviewing the council's current strategy, resources and capability for tackling fraud

Understanding the bar charts

Outcomes for the first measure for your council are highlighted in yellow in the bar charts. The results of your comparator authorities are shown in the green bars.



Outcomes for the second measure for your council are highlighted as a green symbols above each bar. The results of your comparator authorities are shown in the white triangles.



A '*' symbol has been used on the horizontal axis to indicate your council.

All data are drawn from council submissions on the Audit Commission's annual fraud and corruption survey for the financial year 2013/14.

In some cases, council report they have detected fraud and do not report the number of cases and/or the value. For the purposes of this fraud briefing these 'Not Recorded' records are shown as Nil.

Comparator group

Basildon
Braintree
Brentwood
Castle Point
Chelmsford
Chiltern
Colchester
East Hampshire
Epping Forest
Epsom and Ewell
Harlow
Horsham
Maldon
Mole Valley
Rochford
Sevenoaks
South Bucks
South Oxfordshire
Spelthorne
Surrey Heath
Tandridge
Tendring
Three Rivers
Uttlesford
Waverley

Interpreting fraud detection results



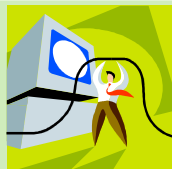
Contextual and comparative information needed to interpret results



Detected fraud is indicative, not definitive, of counter fraud performance (*Prevention and deterrence should not be overlooked*)



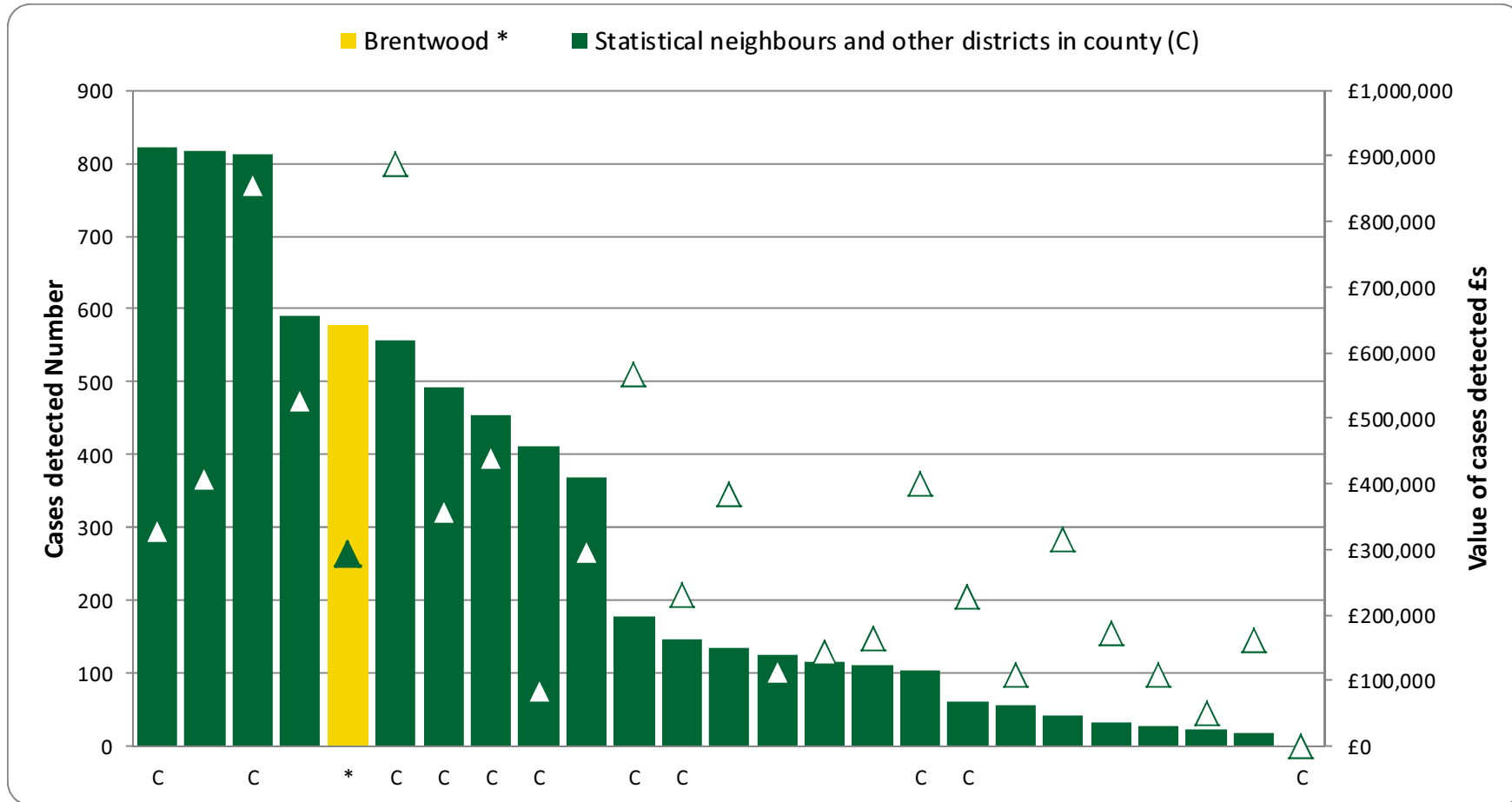
No fraud detected does not mean no fraud committed (*Fraud will always be attempted and even with the best prevention measures some will succeed*)



Councils who look for fraud, and look in the right way, will find fraud (*There is no such thing as a small fraud, just a fraud that has been detected early*)

Total detected cases and value 2013/14 (Excludes Housing tenancy fraud)

Brentwood



Brentwood detected 579 cases of fraud. The value of detected fraud was £291,873.

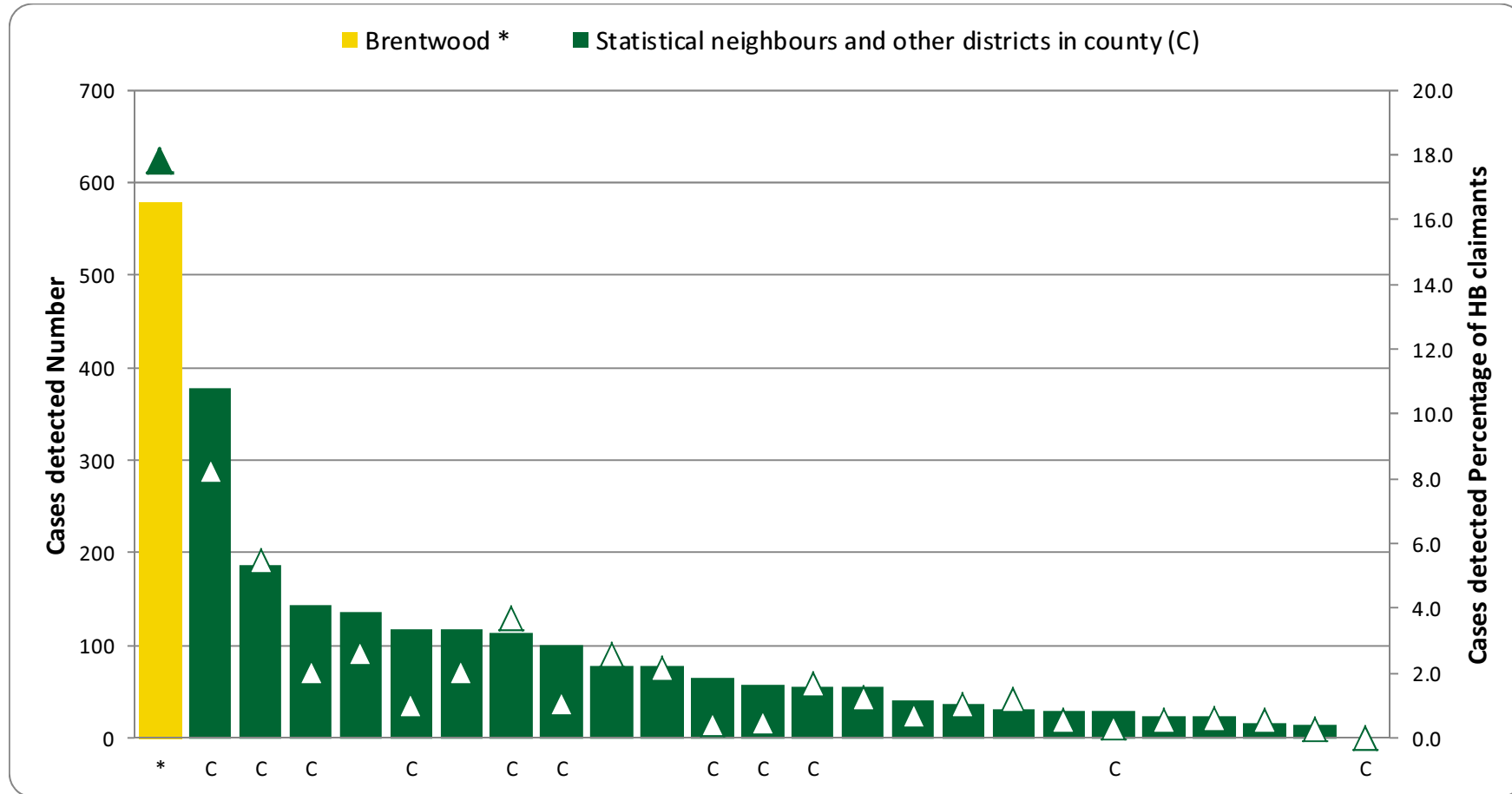
Average for statistical neighbours and county: 271 cases, valued at £305,734



Housing Benefit (HB) and Council Tax Benefit (CTB) 2013/14

Total detected cases, and as a proportion of housing benefit caseload

Brentwood



Brentwood detected 579 cases of this type of fraud. The value of detected fraud was £291,873.

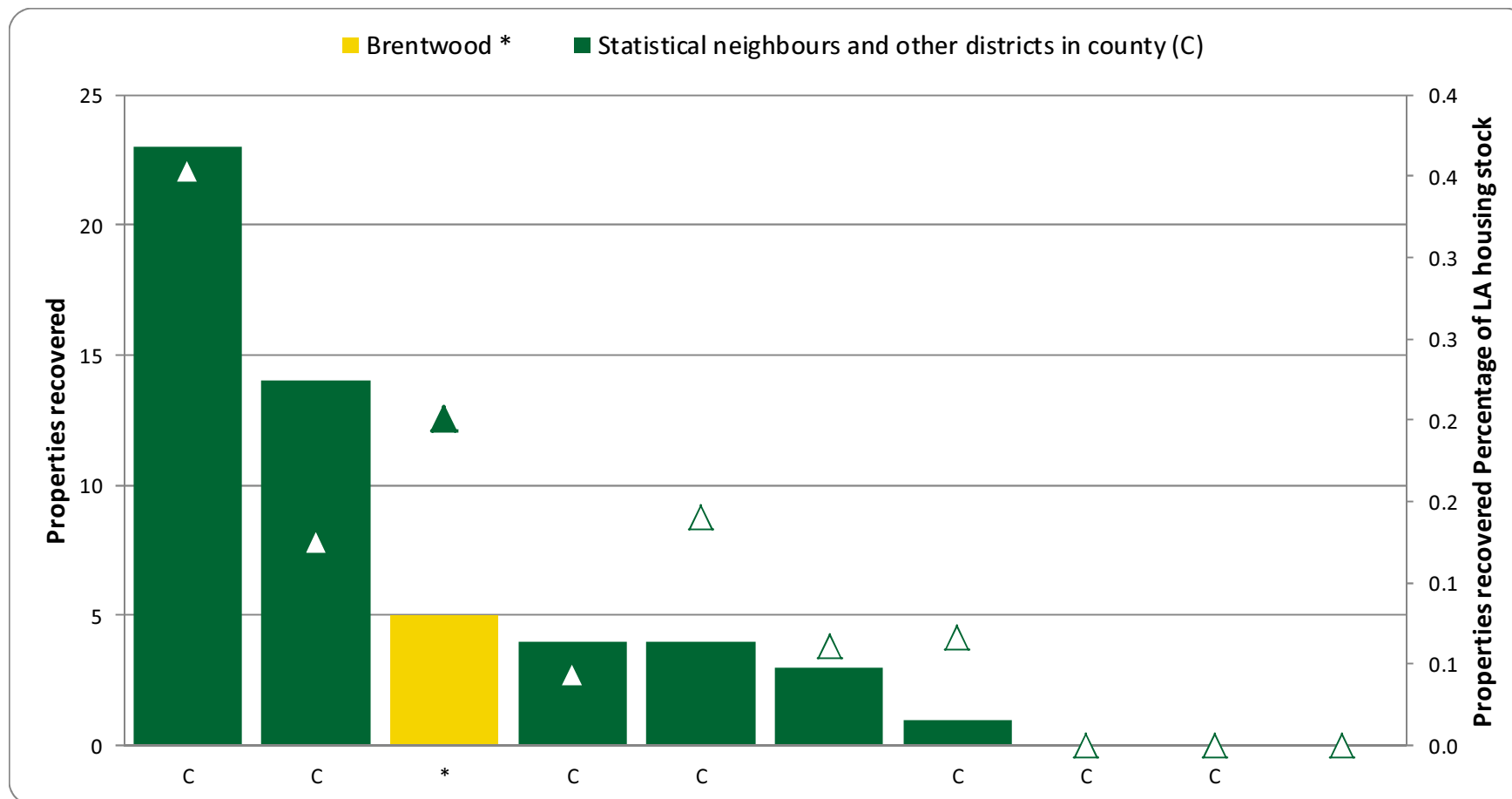
Average for statistical neighbours and county: 80 cases, valued at £235,179



Social Housing fraud (only councils with housing stock) 2013/14

Total properties recovered, and as a proportion of housing stock

Brentwood



Brentwood recovered 5 properties.

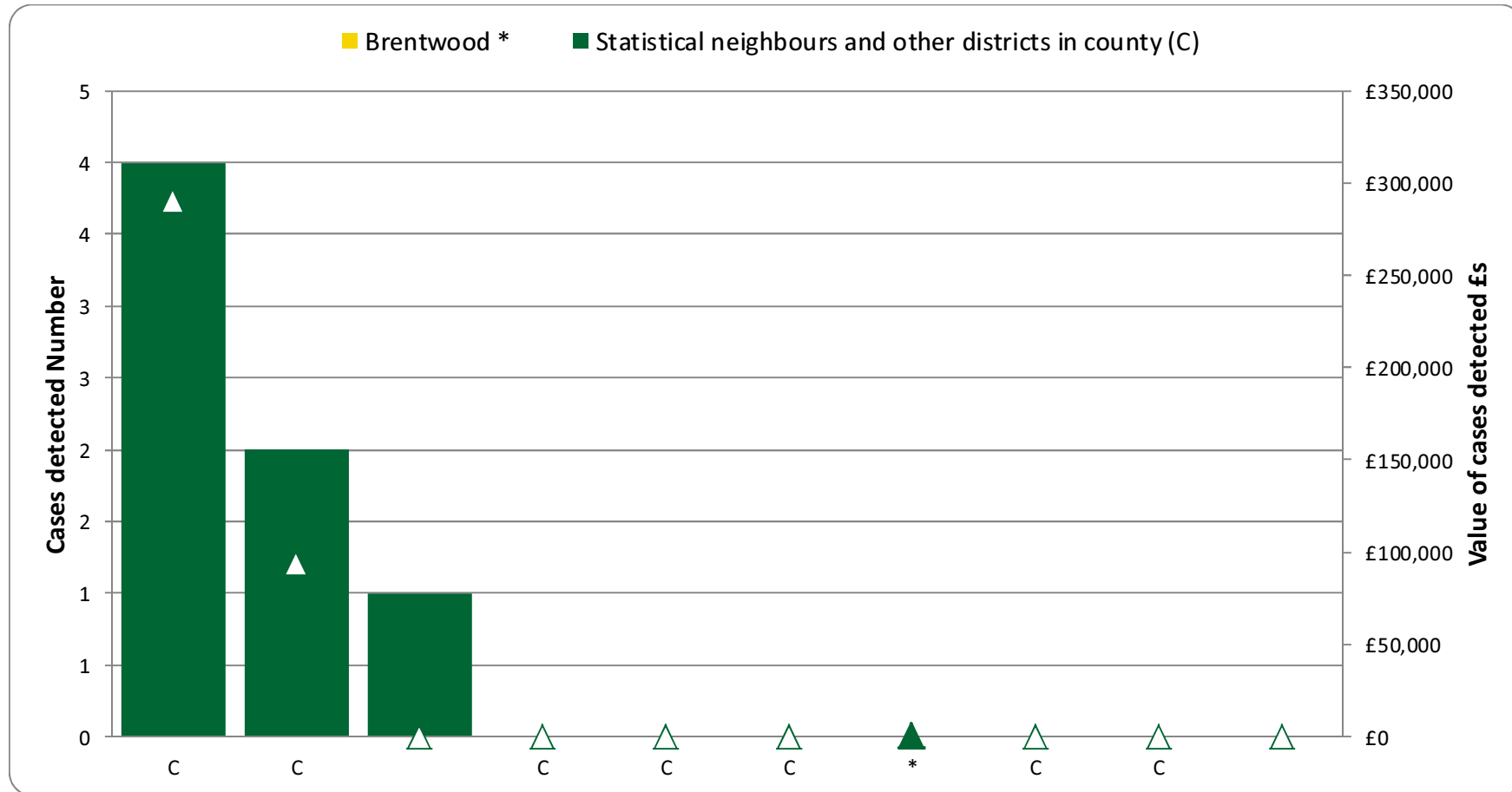
Average for statistical neighbours and county with housing stock: 5 cases



Right to buy fraud (only councils with housing stock) 2013/14

Right to buy cases and value

Brentwood



Brentwood did not detect any cases of this type of fraud.
 Average for statistical neighbours and county with housing stock: 1.0 case,
 valued at £192,250



Other frauds 2013/14

Brentwood

Procurement: Brentwood did not detect any cases of this type of fraud.
Total for statistical neighbours and county: 1 case, valued at £640

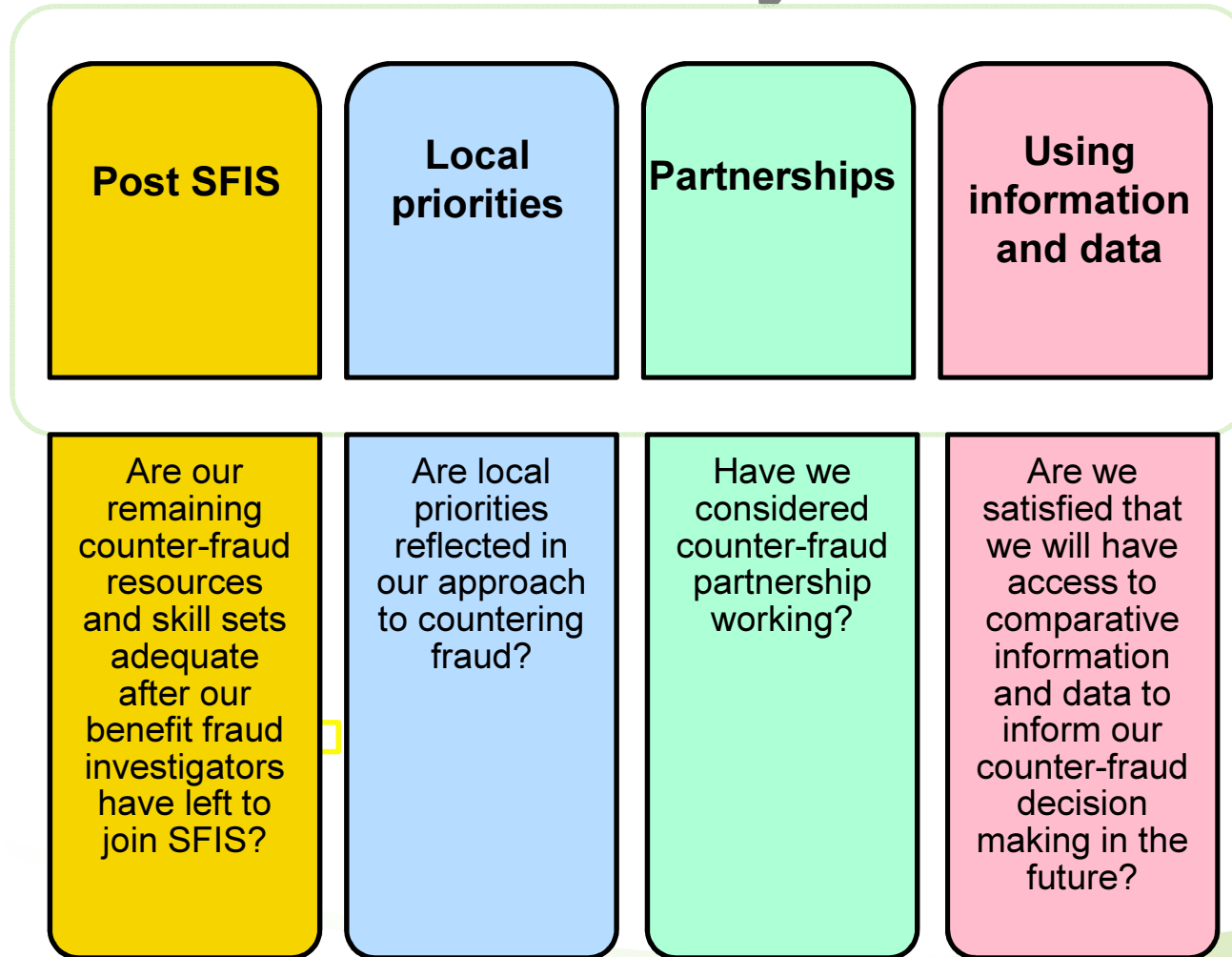
Insurance: Brentwood did not detect any cases of this type of fraud.
Total for statistical neighbours and county: 0 cases

Economic and third sector: Brentwood did not detect any cases of this type of fraud.
Total for statistical neighbours and county: 0 cases

Internal: Brentwood detected this type of fraud and did not report the number of cases.
Total for statistical neighbours and county: 12 cases, valued at £4,050

*Correctly recording fraud levels is a central element in assessing fraud risk.
It is best practice to record the financial value of each detected case*

Questions elected members and decision makers may wish to ask



Any questions?



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27th January 2015

Audit & Scrutiny Committee

Annual Community Safety Partnership (CSP) Report

Report of: *Ashley Culverwell, Head of Borough Health Safety and Localism*

Wards Affected: *All*

This report is: *Public*

1. Executive Summary

- 1.1 The attached Community Safety Partnership (CSP) Annual Scrutiny Report provides an update on the work of the partnership over the year and gives details of crime figures relating to the CSPs strategic priorities. It also includes details of activities undertaken by the partnership.
- 1.2 The report compares crime figures for 1st October 2013 to 30th September 2014 with 1st October 2012 to 30th September 2013. Whilst reductions have been achieved in most crime types and all crime has seen 508 less offences (12.8% reduction) there has been an increase in violent crime. On further examination 41% of the violent offences related to altercations which occurred within the hours of daylight including incidents such as, road traffic and parking disputes, schools and playground bullying and dangerous dogs. Violent offences relating to the night-time economy was 32% of the total and 27% were linked to domestic violence. The majority of violent offences occurred within the home.
- 1.3 During the time period Brentwood achieved the highest reductions in all crime across the County.

2. Recommendation

- 2.1 Section 19 of the Police and Justice Act 2006 requires every Local Authority to have a Crime and Disorder Committee with the power to review, scrutinise, and make reports and recommendations regarding the functioning of the CSP. Under the scrutiny arrangements in place the Committee are asked to note the work of the CSP as outlined in the annual report attached at Appendix 1 and refer any comments or concerns to the partnership.

3. Introduction and Background

- 3.1 The requirement for local authorities to have a Committee which carries out a scrutiny role was enacted by the Crime and Disorder (Overview and Scrutiny) Regulations 2009 that came into force for local authorities in England on 30th April 2009.
- 3.2 The Act and the Regulations do not require Council's to alter existing committee structures but specify that there must be a formal place where community safety matters can be discussed.
- 3.3 At the Policy Board meeting on 17.6.2009 (minute 78 refers) it was agreed that the Overview and Scrutiny Panel will carry out the function of Crime and Disorder Committee. Since then this Committee (Audit and Scrutiny Committee) was established by the Council in June last year with terms of reference including overview and scrutiny.
- 3.4 Each year the CSP provides an annual report to the Committee.

4. Issue, Options and Analysis of Options

- 4.1 As outlined in section 3.1 the Committee are asked to perform the scrutiny function for the CSP.

5. Reasons for Recommendation

- 5.1 The Committee is asked to consider the work of the CSP as summarised in the attached annual report and to refer any comments or concerns to the partnership. This provides a scrutiny and monitoring function of the Council's partnership role in improving community safety.

6. Consultation

- 6.1 The CSP undertake a Strategic Assessment each year which considers all crime and disorder for the borough. This information helps identify any longer term emerging concerns and trends which is then used to agree the Strategic Priorities for the forthcoming year. All members of the partnership are involved and consulted during this process. This year the partnership also undertook its first public consultation which is continuing.

7. References to Corporate Plan

- 7.1 This report and the work of the CSP are aligned to the Council's corporate priority in relation to a Safe Borough in terms of:
- Reducing anti-social behaviour
 - Reduce offending by young people
 - Increasing community confidence

8. Implications

Financial Implications

Name & Title: Jo-Anne Ireland, Director of Strategy & Corporate Services
Tel & Email 01277 312712, jo-anne.ireland@brentwood.gov.uk

- 8.1 The current level of support provided to the CSP is budgeted.

Legal Implications

Name & Title: Chris Potter, Monitoring Officer & Head of Support Services
Tel & Email 01277 312860 christopher.potter@brentwood.gov.uk

- 8.2 The Council are statutory partners of the CSP as outlined in the Crime and Disorder Act 1998.
- 8.3 The Council have a protocol in place to overview and scrutinise the work of the CSP.
- 8.4 Delegated Member responsible for community safety sits on the CSP and is currently the Vice Chair.

Other Implications (where significant) – i.e. Health and Safety, Asset Management, Equality and Diversity, Risk Management, Section 17 – Crime & Disorder, Sustainability, ICT.

The partners of the CSP all adhere to health & safety standards and comply with equality and diversity, and safeguarding policies.

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

9.1 None

10. Appendices to this report

- Appendix A - Community Safety Partnership Annual Scrutiny Report

Report Author Contact Details:

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Telephone: 01277 312644

E-mail: tracey.lilley@brentwood.gov.uk

**Community Safety Partnership
Annual Scrutiny Report
27th January 2015**

Brentwood Community Safety Partnership is the local statutory Community Safety Partnership (CSP) for Brentwood. The purpose of the Partnership is to provide a strategic and co-operative approach to addressing local crime and disorder within the Borough by reducing the levels of disorder including crime, anti-social behaviour, the misuse of drugs and reducing re-offending.

The partnership is made up of both Statutory and Community organisations please refer to the table below.



District Profile

Within Brentwood there are four police ‘neighbourhoods’:

- Brentwood Town Centre;
- Brentwood North;
- Brentwood South;
- Hutton and Shenfield

Each of these is split into 15 Council wards.



NEIGHBOURHOOD	WARD NAME
Brentwood Town Centre	Brentwood South Brentwood West
Brentwood North	Brizes & Doddinghurst Tipps Cross South Weald Pilgrims Hatch Ingatestone, Fryerning & Mountnessing
Hutton	Hutton North Hutton South Hutton Central Shenfield Hutton East
Brentwood South	Brentwood North Herongate, Ingrave & West Horndon Warley

The CSP is currently chaired by Essex Police and the Vice Chair is Cllr John Newberry. Each year the CSP are required to prepare a Strategic Assessment in order to review existing priorities and identify any new or emerging priorities that the partnership should focus on.

Following this analysis and identification of the strategic priorities a Partnership Plan is produced detailing the partnerships activities for the forthcoming year to address the issues raised in the Strategic Assessment.

The priorities identified from the 2014/2015 Strategic Assessment were:

Priorities for 2014-15:

- **Acquisitive Crime*** (concentrating on burglary and vehicle crime)
- **Domestic abuse**
- **Community Priorities** (anti-social behaviour/community engagement)

* A criminal act where property is taken without the owners consent i.e. burglary, theft, car crime and shoplifting

Performance Summary

The table below sets out the crime figures for Brentwood, comparing reports for 1st October 2013 to 30th September 2014 with 1st October 2012 to 30th September 2013.

Crime/Incident Type	# offences		# diff	% diff
	2012/13	2013/14		
ALL CRIME	3961	3453	-508	-12.8
Burglary in Dwelling (inc. attempts)	539	442	-97	-18.0
Burglary in Other Than in Dwelling	216	208	-8	-3.7
Theft From Vehicles	496	393	-103	-20.8
Theft & Taking Motor Vehicles	148	153	5	3.4
Theft of Pedal Cycles	79	58	-21	-26.6
Shoplifting	309	247	-62	-20.1
Criminal Damage	471	397	-74	-15.7
Robbery	34	19	-15	-44.1
Other Theft and Handling	581	507	-74	-12.7
Other Violence Against the Person	573	663	90	15.7
Serious Violent Crime	16	35	19	118.8
Serious Sexual Crime	29	32	3	10.3
Assault With Less Serious Injury	209	246	37	17.7
Racially-Aggravated Crime	24	30	6	25.0
Anti-Social Behaviour Incidents	1982	1747	-235	-11.9

Note: Some crimes may appear in more than one category.

Looking back over the year's priorities Brentwood has seen some significant reductions in respect of theft and criminal damage. Whilst celebrating those successes we must also consider the increases experienced around violence as summarised below:

- All Crime has decreased by 12.8% (508 less offences);
- Burglary in a Dwelling has decreased by 18.0% (97 less offences);
- Theft from Vehicles has decreased by 20.8% (103 less offences);
- Criminal Damage has decreased by 15.7% (74 less offences);
- Anti-Social Behaviour has decreased by 11.9% (235 less incidents);
- Other Violence Against the Person has increased by 15.7% (90 more offences);
- Serious Violent Crime has increased by 118.8% (19 more offences);
- Assault with Less Serious Injury has increased by 17.7% (37 more offences).
- Racially Aggravated Crime has increased by 25% (6 more cases)
- Serious sexual Crime has increased by 10.3% (3 more cases)

The above provides a clear indication that Brentwood's strategic priorities are impacting on crime levels and successes have been achieved since last year. The partnership is aware that more work needs to be done to ensure that the good work continues and resources are targeted towards those areas of concern with respect to violence. However it may help to understand that of the data provided 41% of the violent offences related to altercations during the day such as, road traffic and parking disputes, schools and playground bullying and dangerous dogs. Violent offences relating to the night-time economy was 32% of the total and 27% were linked to domestic violence. The majority of violent offences occurred within the home.

The serious violent crime incidents have since been reviewed by Essex Police and consist of 1 murder with the remaining crimes being GBH/Woundings. There were 4 recorded incidents of domestic violence. The remaining incidents consist of the following; disputes /fights on the road, in public, in private, on sports pitches and there are 7 in licensed premises. None of the licensed premises have more than one incident.

It is interesting to note that reports of domestic abuse/violence doubled this year. The increase in levels of reporting may be attributable to the excellent work being completed by Essex Police and our partners to improve the confidence of victims of domestic abuse to come forward and report incidents to the police.

The report will now provide more detail for each of the CSPs strategic priorities and what the partnership has done in the last year to tackle each priority.

Dwelling Burglary

The borough continues to suffer a number of dwelling burglaries, however it should be noted that between 1st October 2013 and 30th September 2014 there were 97 less dwelling burglary offences, when compared to the same period the previous year (this represents an 18.0% decrease as shown above). This is an encouraging sign that the work of the partnership and in particular Essex Police is working and means that residents are experiencing the lowest burglaries for 20 years.

In the last year the CSP have sought to tackle burglary through various activities including the following:

Operation Insight Operation Insight was launched on 1st October 2013 and consists of a new system of analysis and the deployment of resources into 'hot spots' likely to suffer burglaries, reducing the chance of them occurring. This policing operation enables the police to use resources more efficiently and maximises the opportunity to prevent crime. Intelligence is produced weekly to highlight areas for more intensive patrolling based on their vulnerability to offences.

This is shared with partners and the Council's Community Safety team then disseminated to other departments within the Council to make sure staff are aware and can factor this information into their regular patrols, visits and work schedule etc.

Operation Insight also includes 'Cocooning' which was successful in the pilot of Operation Albatross in Brentwood.

This involves crime prevention work carried out by the neighbourhood policing team specifically targeting premises in the immediate vicinity of a burglary. Residents are visited and given crime prevention advice to ensure security measures are in place to reduce the risk of them becoming victims.

Local police officers are supported by County resources and have performed intelligence-led police work and high volume deployments which have resulted in some key arrests, crime prevention and intelligence gathering. This activity maintains pressure on known offenders and aims to reduce crime.

Improved communication with CCTV Improved communication between Essex Police and the Council's CCTV Department. Operators have taken part in joint patrols with Officers in order to develop relationships and a greater understanding and awareness of effective use of CCTV.

There is now a police Airwave radio permanently located in the CCTV control room so that operators have direct access to Essex Police. Data is also shared with partners in relation to the use of CCTV.

Lock Them Out Campaign The partnership has continued with the successful campaign and have a range of literature providing burglary reduction information including Posters, A5 b-fold leaflets with basic crime reduction advice, and A5 bound Booklets providing detailed information for residents assisting them to secure their properties against burglary.

These are distributed through events, Neighbourhood Watch and have been delivered to key outlets across the borough from libraries to garden centres. The information is also available on the CSP website, www.saferbrentwood.com and Council website.

Neighbourhood Watch (NHW) Brentwood is extremely fortunate to have a very dedicated volunteer borough co-ordinator who is extremely proactive driving the scheme across Brentwood. In addition to the existing active NHW schemes, a further 9 co-ordinators have been recruited in 2014.

As a result of the dedication of the volunteer borough co-ordinator there have been vast improvements to NHW.

He attends the CSP Strategy Panel meetings and provides regular updates as well as promoting NHW at various events including:

- Council events such as Strawberry Fair, Family Fun Days, recycling roadshows etc
- Public engagement meetings
- Local venues such as Brentwood High Street, libraries, the community hospital, and various groups

He has also developed a new campaign called Scary Be Wary where information leaflets are in prominent locations in the High Street with safety information as well as positive updates. He is hoping to expand the scheme to Shenfield and Ingatestone this year.

As well as promoting neighbourhood watch across the borough he has also distributed information leaflets/booklet and crime prevention items such as:

- Window Alarms
- ID Magnifier
- Personal Alarms
- Purse Bells
- Purse Cables
- Property Marker Pens
- Timer Switches
- Sat Nav Cloths
- Key Ring Torches
- Leaflets including: Lock Em Out, scam booklet, community safety booklet, junior highway code booklet, and much more

Speedwatch There is now an active network of Speedwatch groups across the borough. A dedicated speedwatch email is in place for speedwatch groups to utilise and a speed gun is available for groups to use which is located at the Town Hall and co-ordinated by the Community Safety team. Whilst this scheme is primarily to target speeding drivers it is also a very visible presence in a locality which can only help to assist with discouraging burglars.

Door Chain Project Safer Brentwood and Brentwood Borough Council, with the help of MenShed, a local volunteer group, launched a new project aimed at elderly and vulnerable residents. The partnership received funding from the Police & Crime Commissioner to install door chains into homes for **FREE**. The primary aim of the project is to make the most vulnerable residents of Brentwood feel safer in their homes.

The Door Chain Project has been very popular with residents. There have been 39 applications, of which there have been 28 door chains fitted to date. The feedback received has been extremely positive with most residents thanking us for making them feel safer in their homes.

The Council website has a dedicated page for Burglary advice which is updated regularly by the Council's Community Safety Manager along with the Safer Brentwood website. These are used to provide valuable security advice and tips on how to prevent becoming a victim of burglary.

Senior Safety Day This was the second event funded by Brentwood Borough Council and supported by the partnership. The aim is to provide crime and safety awareness to the elderly and vulnerable residents of the borough including fraud, fire safety and burglary. It was well attended with over 70 guests including the Mayor and High Sherriff.

The Council was incredibly lucky to have to the support of 25 volunteers from St Martins 6th form who help throughout the day from making tea, performing and helping the guest enjoy the day.

Anti-Social Behaviour

Anti-social behaviour continues to reduce across the borough with 235 incidents during the period 1st October 2013 to 30th September 2014, when compared with the same period from the previous year. This represents an 11.9% decrease in incidents of anti-social behaviour.

The CSP has funded various projects and initiatives to tackle crime and anti-social behaviour such as:

Street Pastors There are currently 20 volunteers from local churches who are fully trained, and they continue to go from strength to strength with more volunteers coming forward on a regular basis.

Street Pastors patrol the High Street on Friday nights from 10.30pm- 3am, plus one Saturday every month. A new patrol was undertaken this year which starts at the earlier time of 8pm – 10pm this is to allow the dedicated older Street Pastors to continue to support the residents of Brentwood.

The CSP has just awarded funding to the Street Pastors to assist with their minibus project.

Firebreak The partnership continues to support the project aimed at young people which is delivered by Essex County Fire & Rescue Services. Along with the Council the partnership have assisted in securing three courses this year which have been run from Ingatestone Fire Station for the first time this year.

Prison Me No Way Prison Me No Way is a project aimed at raising awareness amongst young people about the causes, consequences, impact and penalties of crime. It also encourages young people to stay safe, aspire and become good citizens.

With funding from the Council two schools benefited from the project. The Mayor attended the opening at Shenfield High School and the overall event was well received. The schools would like another 2 Prison Me No Way next year.

Encouraging achievements have been seen in the last year and it is recognised that locally there is a strong and established partnership with Essex Police and our community safety partners. This includes:

- Joint patrols and identification of the key anti-social behaviour offenders.
- Various police operations including:
 - **Teutonic** Targeted intervention and enforcement work in relation to anti-social behaviour in the borough.
 - **Penthouse & Rally** Targeted multi agency intervention to tackle issues of anti-social behaviour, low level crime such as criminal damage and drug dealing in a particular hotspot.
 - **Pumpkin** Targeted intervention and enforcement.
- The Council's licensing team has formalised arrangements with Brentwood Police to conduct regular weekend night time patrols of licensed premises in the town centre
- Increased CCTV surveillance signs will be provided shortly across the Borough in compliance with legal requirements which will act as a visible deterrent.

Domestic Abuse

There were 458 recorded incidents of domestic abuse this year. Essex Police have seen the reports of domestic abuse/violence double this year. This could be as a result of the increased publicity and awareness raising undertaken by Essex Police and the partnership.

As identified earlier 27% of all violent crime within the borough is related to domestic abuse.

The Partnership continues to seek to address the issues regarding this destructive and emotive issue such as:

- The Partnership have provided funding in order to purchase security devices for victims including door and window alarms, fire safety kits, and door braces.

- All high risk victims are visited by an Essex Police Crime Prevention Tactical Advisor who provides information, advice and security items to victim.
- The Partnership also held a Domestic Abuse Awareness Campaign during Domestic Abuse Awareness Week in November. This included handing out information and advice in the High Street and other locations across the borough as well as during Brentwood lighting up events.

Essex Community Rehabilitation Company (ECRC) have a team of Women Safety Workers who contact all women who are known as current or ex partners of men sentenced by courts to attend the Building Better Relationships Programme, (a domestic abuse intervention undertaken by ECRC).

The role of the Women Safety Worker includes such tasks as empowering women to make decisions and assist them to address factors which effect their safety, well being and social inclusion. This is achieved by completing an initial risk assessment, representing the victim in multi agency meetings, assisting her in considering her own and her child's safety and accessing other resources available in the community.

Brentwood CSP currently has 7 open cases.

IOM

Integrated Offender Management (IOM) is a county wide multi agency co-ordinated approach, led by ECRC and Essex Police, involving statutory, voluntary and business sectors and the community. Its aim is to identify those individuals whose offending has the most effect on a local community.

By engaging and working with those individuals, address problems and issues with them to prevent further offending or identify those, where necessary, in need of enforcement and prosecution

Brentwood CSP currently has 7 offenders on the cohort. A study of offenders previously subject to IOM in the Brentwood area reveals an 18.6% reduction between the pre and post IOM cost of crime to the community.

Additional Partnership Activities 2014-15

The CSP has funded and continues to fund various projects and initiatives to tackle the issues identified within the Strategic Assessment and produce an annual Partnership Plan detailing the partnerships activities.

These have included:

- Development of a dedicated website for the partnership www.saferbrentwood.com.
- Development of the new CSP Newsletter which is produced following each CSP Strategy Panel meeting.
- Fire safety talks to numerous groups throughout the borough including Adults with learning difficulties living independently in the community, sheltered accommodation residents, OAP groups and Breath easy groups.
- Supporting Lighting up Brentwood in terms of police and partnership presence at event and assisting with smooth running of event and temporarily closing the road to allow safe access for the marching band and Candlelight parade.
- Funding provided to the Friends of Weald Park in order to purchase much needed tools to support the work of the volunteers and ex offenders rehabilitation.
- Keep Safe which is a joint venture between Brentwood Borough Council, Essex Police, Essex Mental Health Community and Frontline Partnership.

Keep Safe is a free scheme to help vulnerable people feel safer when they are out in towns across Essex - and in Brentwood we are the first borough to extend the scheme to elderly, learning difficulties and mental ill health. Funding was provided by the CSP and Members in addition to Essex Safeguarding Board.

- The CSP has also launched a Community Safety Questionnaire encouraging residents to have their say. Following initial analysis of the 150 received so far:

72% said that acquisitive crime was either not a very big problem or not a problem at all.

74% felt that anti-social behaviour was not a problem in the borough.

90% of the responses believe that domestic abuse is not an issue.

- In 2014 Brentwood police acted on intelligence from the public by producing and executing 12 search warrants, consisting of:

6 drugs warrants

3 theft and handling

3 for evidence gathering for investigations

(9 of the warrants resulted in convictions and recovery of property). These searches are in addition to the normal day to day searches that take place after an arrest for an offence.

- In partnership with the Council Essex Police also carried out an Essex Act warrant on a suspected brothel in the borough following public complaint and intelligence submissions; however in this case the business was found to be operating legitimately as a massage parlour.
- Successful closure of a brothel near to the town centre discovered in the Borough following public complaint.
- **Community Payback** A requirement imposed by the courts to undertake work in the community as reparation for their offending. In the period April 2014-December 2014 offenders resident in the Brentwood area undertook 3,161 hours of unpaid work under this scheme.

The level of public engagement over the last 12 months in the **borough has risen dramatically and is stronger than ever**, in part due to:

- Public meetings – 2 in 201
- PCC Public Engagement Meeting – October 2014
- The launch of www.Saferbrentwood.com
- Regular newsletters keeping residents informed
- Enhanced use of social media channels to inform about crime
- NHW at events
- Public Consultation

In addition, the Partnership's work will provide the opportunity to work together with our partners such as Essex Police, Essex Fire & Rescue Service, Essex Community Rehabilitation Company and many others in order to achieve our corporate objectives.

27 January 2015

Audit and Scrutiny Committee

Scrutiny Work Programme 2014/15

Report of: *Ben Bix, Corporate and Democratic Services Manager*

Wards Affected: *All*

This report is: *Public*

1. Executive Summary

- 1.1 The work of the Audit and Scrutiny Committee will be delivered both by Members working in groups and through formal Committee reports. The Audit and Scrutiny Committee will make recommendations to decision making committees and Council as necessary. The Audit and Scrutiny Committee is invited to consider its 2014/15 scrutiny work programme.

2. Recommendation(s) That:

- 2.1 The Audit and Scrutiny Committee agree its scrutiny work programme 2014/15**

3. Introduction and Background

- 3.1 At the beginning of the municipal year, the Audit and Scrutiny Committee agreed its work programme.
- 3.2 Committee members are invited by the Chair and Vice-Chair to consider progress of the work programme.
- 3.3 The Audit and Scrutiny 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 and Scrutiny Committee should not include management or staffing issues which are the responsibility of the Head of Paid Service.

3.5 The Committee noted at its meeting of 1 July 2014 that the Town Hall Delivery Group, the Local Development Plan Working Group, The William Hunter Way Delivery Group and the Constitution Working Group were **not** scrutiny task and finish groups.¹

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 1 July 2014 meeting of the Committee.

4.2 It was proposed and agreed at the Audit & Scrutiny Committee on 1 July 2014 that the scrutiny work programme 2014/15 include the following:

- William Hunter Way Lessons Learned
- Crossrail
- Member/Officer Communications/ Members Casework
- Local Council Tax Support Scheme
- IT Resilience and Business Continuity
- Budget Scrutiny
- Community Safety Partnership Annual Review

4.3 Post the Audit & Scrutiny Committee 1 July 2014, the work programme was updated under Overview and Scrutiny procedure rule 5.4 to include a Hutton Community Centre Scrutiny Review

4.4 At its meeting on 30 September 2014, the Committee prioritised *IT Resilience and Business Continuity* as its next review. Due to the technical nature of the subject matter, the Committee would consider this as an officer report, rather than a task and finish group.

4.5 Minute 154 of the Audit and Scrutiny Committee 30 September 2014, *Internal Audit Progress Report* required that an officer report on the Customer Contact Centre be added to the Committee work programme for its meeting of 26 November 2014.

4.6 Minute 220 of the Audit and Scrutiny Committee 28 October 2014 amended the work programme of the committee to include a new task and finish group on *William Hunter Way Procurement*. The review was prioritised to mitigate the perceived need for an extraordinary council meeting.

¹ The William Hunter Way delivery group, 7 April 2014 Extraordinary Council Agenda Item 11, 2.8 Governance

4.7 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.

4.8 As at 27 January 2015, the Committee will note that it has received reports on or completed (or will complete at the January meeting) the following reviews:

- Section 106 Agreements (from 2013/14) work programme
- Local Council Tax Support Scheme
- William Hunter Way Lessons Learned
- Hutton Community Centre Review
- Customer Contact Centre Review
- IT and Business Continuity Review
- William Hunter Way Procurement Review
- Community Safety Partnership Annual Review
- Budget Scrutiny Review

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 scrutiny work programme at each meeting of the Committee.

6. Consultation

6.1 The Chair and Vice-Chair of the Audit and Scrutiny Committee were consulted about the work programme of the Committee.

6.2 The Chair has a regular dialogue with the Shadow Chair.

6.3 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

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8.1 There are no direct financial implications arising from this report

Legal Implications

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8.2 There are no legal implications at present.

Other Implications (where significant) – i.e. Health and Safety, Asset Management, Equality and Diversity, Risk Management, Section 17 – Crime & Disorder, Sustainability, ICT.

8.3 Risk Management: The committee need to allow enough time and resource to complete their work programme and be mindful of potential duplication of matters elsewhere within the governance structure.

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

9.1 All scrutiny work programmes, and annual reports for previous years are available at www.brentwood.gov.uk

10. Appendices to this report

Appendix A – Scrutiny Work Programme 2014/15

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Scrutiny Work Programme 2014-15

Work programme agreed by the Audit & Scrutiny Committee, 1 July 2014

Topic	Committee Date	Lead Member (s)	Commentary (01/07/14)	Status and Commentary (30/09/14)	Status and Commentary (28/10/2014)	Status and Commentary 26/11/2014	Status and Commentary 27/1/2015
Annual Work Programme	1 July 2014	Councillors Clark and Barrett	The Chair and Vice-Chair consult the Committee on the scrutiny work programme 2014/15 at each Committee meeting.				
William Hunter Way Lessons Learned Task and Finish Group	1 July 2014	Councillor Clark	It has been agreed that a group should be formed to consider the lessons learned from the William Hunter Way project.	Scoping: The William Hunter Way Lessons Learned Group has been assembled, and is in the process of scoping its work using a project management methodology. The members of the group are Cllrs Clark, Kerslake and Mynott.	Complete. The task and finish group met 7 times in preparation of its report to the Audit and Scrutiny Committee 28/10/14.		
Crossrail Task and Finish Group	1 July 2014	Councillor Clark	To provide a reporting line for the Crossrail project.	Closed: After reconsideration, there is an existing Crossrail Working Group which Councillor Clark Chairs. A scrutiny review would potentially duplicate the work of that group			
Member/Officer Communications/ Members Casework Task and Finish Group	1 July 2014	Councillors Morrissey, Mynott and Reed	That Member/Officer communications and casework management be reviewed.	Evidence gathering: The group has met three times since 1 July and have reviewed the Member casework system. The members of the group are	Evidence gathering: A further meeting of the group is scheduled for 12 November 2014.	Evidence gathering: A verbal update was provided on 26/11/2014.	Evidence gathering: The group is continuing its work.

Topic	Committee Date	Lead Member (s)	Commentary (01/07/14)	Status and Commentary (30/09/14)	Status and Commentary (28/10/2014)	Status and Commentary 26/11/2014	Status and Commentary 27/1/2015
				Councillors Morrissey, Mynott and Reed.			
Section 106 Agreements	1 July 2014	N/A	Required by 2013/14 Overview and Scrutiny Committee work programme	Complete: This was reported at the July meeting of the Audit and Scrutiny Committee.			
Local Council Tax Support Scheme Task and Finish Group	30 September 2014	Councillors Morrissey and Reed	A short Task and Finish Group is required as a consultative forum on proposed changes to LCTS	Complete: This group was formed well ahead of schedule and reported on 30 September 2014, for recommendation to Council in December 2014. The group was Councillors Davies, Morrissey and Reed.			
IT Resilience and Business Continuity	26 November 2014	Councillor Sleep	To understand the implications of the IT challenges faced in May 2014 and make recommendations to improve resilience	Pending: This group will convene once William Hunter Way and Hutton Community Centre reviews are complete.	Prioritised: This review was prioritised at the Audit and Scrutiny Committee 30/09/14. Councillor Sleep expressed an interest in the review.	Reported: Report to Committee 26/11/2014	Follow up: The Committee requested a workshop for Members which the IT Manager has organised for January
Budget Method	26 November 2014	All Committee Members	Pending: The Section 151 Officer will notify the Committee on the Budget setting method in preparation for the Budget Scrutiny meeting 27 January 2015			Pending: A task and finish group will be formed at the meeting of 26/11/2014	Complete: A report setting out the Budget process was received

Topic	Committee Date	Lead Member (s)	Commentary (01/07/14)	Status and Commentary (30/09/14)	Status and Commentary (28/10/2014)	Status and Commentary 26/11/2014	Status and Commentary 27/1/2015
Budget Scrutiny	27 January 2015	All Committee Members	The Audit and Scrutiny Committee will be consulted on the report of the Budget Task and Finish Group	Pending: A report on the Budget will be considered at the January meeting of the Committee.			Reported: The report of the Budget Task and Finish Group will be received
Community Safety Partnership Annual Review	27 January 2015	All Committee Members	To review the Annual Report of the Partnership	Pending: To meet the requirements of The Crime and Disorder (Overview and Scrutiny) Regulations 2009			Reported: Report to Committee 27 January 2015
Annual Report of the Audit and Scrutiny Committee	July 2015	Councillors Clark and Barrett	The constitution requires an annual report on the discharge of overview and scrutiny functions be prepared for Council.	Pending: On the completion of the 2014/15 municipal year. A report will be provided for the first meeting of the Scrutiny function 2015/16			

Work programme additions post Audit & Scrutiny Committee, 1st July 2014 (Overview and Scrutiny procedure rule 5.4)

Topic	Committee Date	Lead Member (s)	Commentary (01/07/14)	Commentary (30/09/14)	Status and Commentary (28/10/2014)	Status and Commentary 26/11/2014
Hutton Community Centre Scrutiny Review	Asset and Enterprise Committee of 15 July 2014	Councillor Barrett	<p>It was resolved that:</p> <ol style="list-style-type: none"> 1. An investigation be taken by the Audit and Scrutiny Committee on how, why and whether the funds were allocated in the correct fashion for the refurbishment of the building 2. Report to a future Finance and Resources Committee with regard to the funding of any necessary further repairs 3. To undertake a Health and Safety inspection on Hutton Community Centre immediately and report back to either the Audit and Scrutiny or Asset and Enterprise Committee 	<p>The Hutton Community Centre Scrutiny Review Group has been assembled, and is in the process of reviewing the project. It has met 5 times. The members of the group are Cllrs Barrett (Chair), Faragher, Hubbard and Sanders.</p> <p><i>Note:</i> 3) was reported to Asset and Enterprise 17 September 2014.</p>	<p>Complete: The task and finish group presented its report to the Audit and Scrutiny Committee 28/10/14.</p>	
Brentwood Community Transport	Pending	Councillor Kerslake	<p>Councillor Kerslake proposed this item in liaison with the Chair post Audit and Scrutiny Committee 1 July 2014.</p>	<p>Pending: The Chair will liaise with the Shadow chair about scheduling a review of Community Transport.</p>	<p>Pending: The Committee should note that there was a task and finish group in 2011. No recommendations were made.</p>	

Customer Contact Centre	26 November 2014	All Committee Members		<p>New: Minute 154 of the Audit and Scrutiny Committee 30/9 (<i>Internal Audit Progress Report</i>) stated that an Officer report be presented to the 26 November meeting. The report will review the work undertaken so far and evaluate the anticipated savings over the medium term.</p>	<p>Complete: Report to Committee 26/11/2014.</p>
William Hunter Way Procurement	26 November 2014	All Committee Members	A task and finish group of Councillors Clark, Barrett, Hones and Kerlake was formed	<p>Complete: Report to Committee 26 November 2014</p> <ul style="list-style-type: none"> To prioritise a review on the William Hunter Way project as outlined in Section 4 of the report. A Task and Finish Group comprising two members of the Administration and two members of the Opposition Group be formed to lead the review. A report on the findings of the review be presented to the Audit and Scrutiny Committee on 26 November 2014. A report be made from Audit and Scrutiny to the Council Meeting on 10 December 2014, including any recommendations arising from the review. 	
Hackney Carriage Fare Setting Process	2015/16 Work Programme	TBC	<p>New: 27 January 2015 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.</p> <p>Licensing Committee report and minutes are available here: http://brentwood.moderngov.co.uk/ieListDocuments.aspx?CId=144&MId=224</p>	<p>New: The Committee to agree the addition to its work programme for 2015/16</p>	

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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, or 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.

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Audit and Scrutiny Committee Terms of Reference

General Powers of Committees

This scheme of delegation sets out the functions of the Council to be discharged by its Committees and Sub- Committees and includes the terms of reference of statutory and non statutory bodies set up by the Council.

Each committee or sub committee will have the following general powers and duties:

- (a) To carry out the duties and powers of the Council within current legislation;
- (b) To comply with the Council's standing orders and financial regulations;
- (c) To operate within the budget allocated to the committee by the Council.
- (d) To guide the Council in setting its policy objectives and priorities including new initiatives, and where appropriate make recommendations to Council
- (e) To develop, approve and monitor the relevant policies and strategies relating to the Terms of Reference of the Committee;
- (f) To secure satisfactory standards of service provision and improvement, including monitoring of contracts, Service Level Agreements and partnership arrangements;
- (g) To consider and approve relevant service plans;
- (h) To determine fees and charges relevant to the Committee;

Audit and Scrutiny Committee

The Audit and Scrutiny 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.

Audit Activity

- 1) To approve the Annual Internal Audit risk based Plan of work.
- 2) 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.

- 3) To consider regular progress reports from Internal Audit on agreed recommendations not implemented within a reasonable timescale.
- 4) To consider the External Auditor's annual letter, relevant reports, and the report to those charged with governance.
- 5) To comment on the scope and depth of external audit work and to ensure it gives value for money.
- 6) 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 deal with those decisions that are subject to the Council's Call In Procedure for decisions made by Committees.
- 7) To deal with those issues raised through the 'Councillor Call for Action' scheme in line with agreed protocols and procedures.
- 8) 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.
- 9) To make reports or recommendations to Council or the policy committees on matters which affect Brentwood or the inhabitants of Brentwood.
- 10) To be responsible for scrutiny of the Council's strategic and budgetary framework and its implementation.
- 11) To report annually to Council on the progress of the work programme and to make relevant recommendations.

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